

Photo by Miguel Ruiz, MILAGRO field campaign

Atmospheric aerosol optical property retrieval with scanning polarimeters

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Outline

(abridged thesis defense)

Aerosols, remote sensing, and scanning polarimeters

Aerosol property retrieval

- Doubling and Adding Optimization (DAO)

Investigation of scanning polarimeter capability with DAO

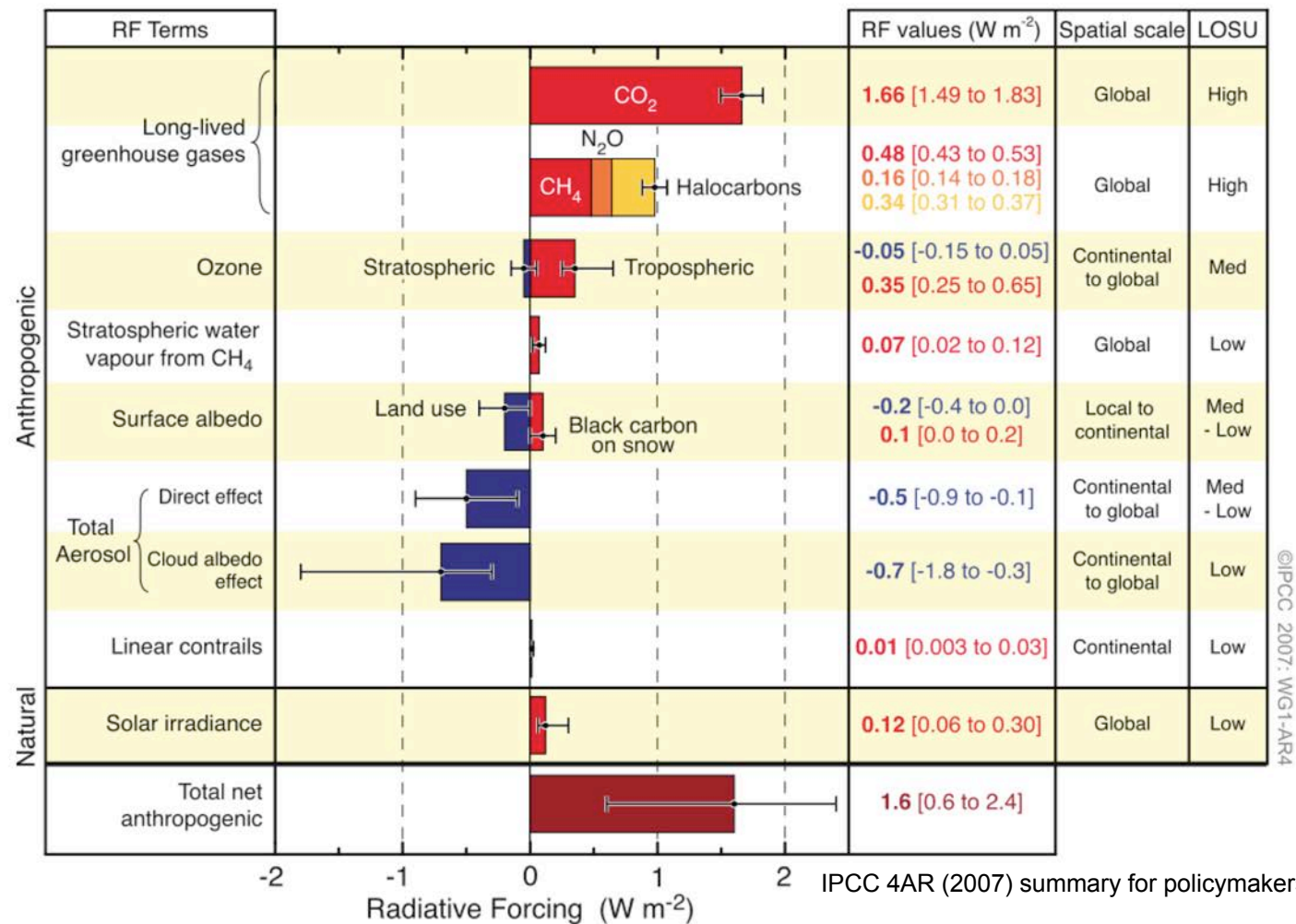
- **ARCTAS** - *“Combined retrievals of boreal forest fire aerosol properties with a Polarimeter and a Lidar”*
- **MILAGRO** - *“Simultaneous retrieval of aerosol and cloud properties during the MILAGRO field campaign”*

Conclusions

Future Work



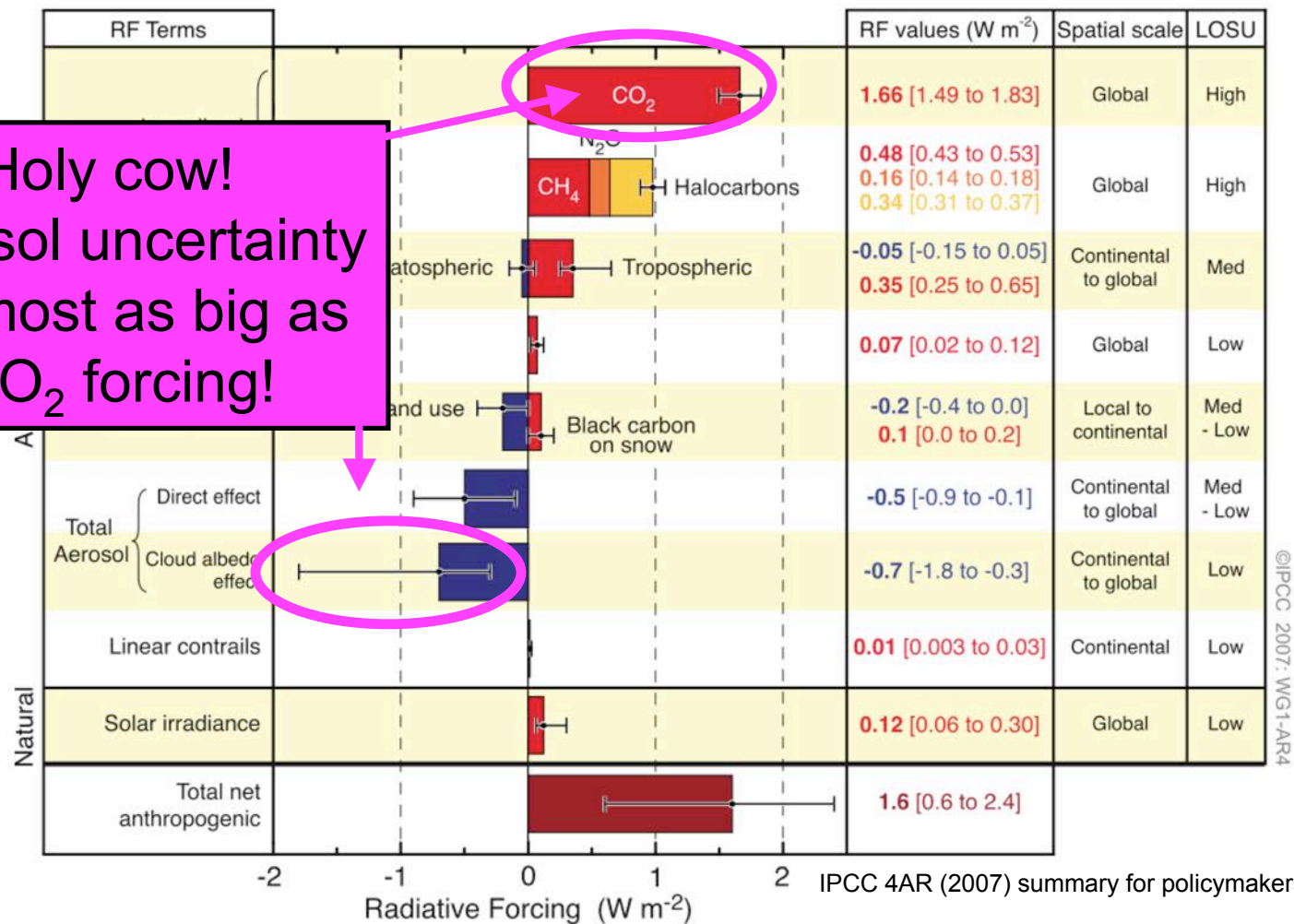
Motivation: aerosol climate uncertainty





Motivation: aerosol climate uncertainty

Holy cow!
Aerosol uncertainty
is almost as big as
CO₂ forcing!



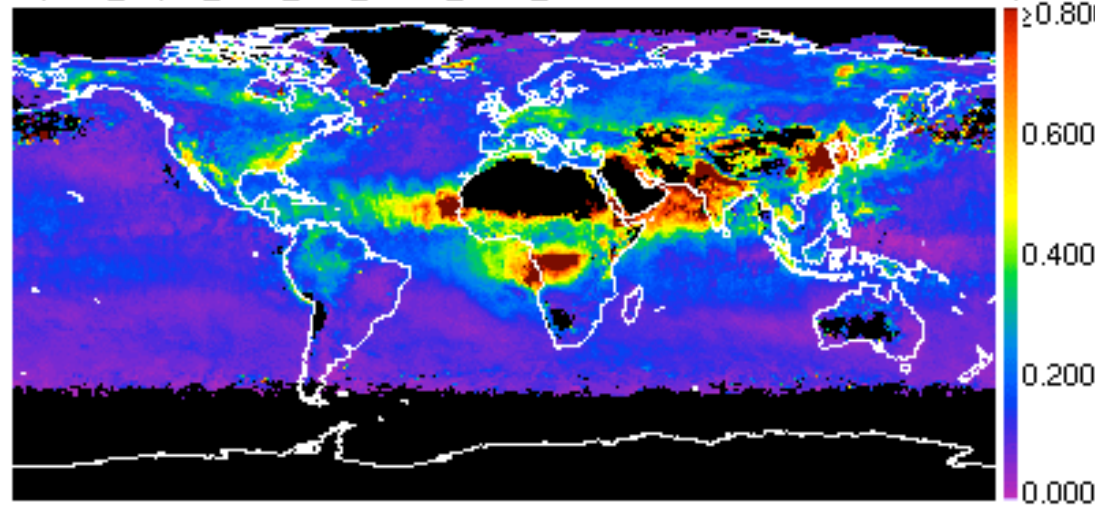


Why are aerosols so difficult?

They are regional and heterogeneous



Optical_Depth_Land_And_Ocean_Mean_Mean



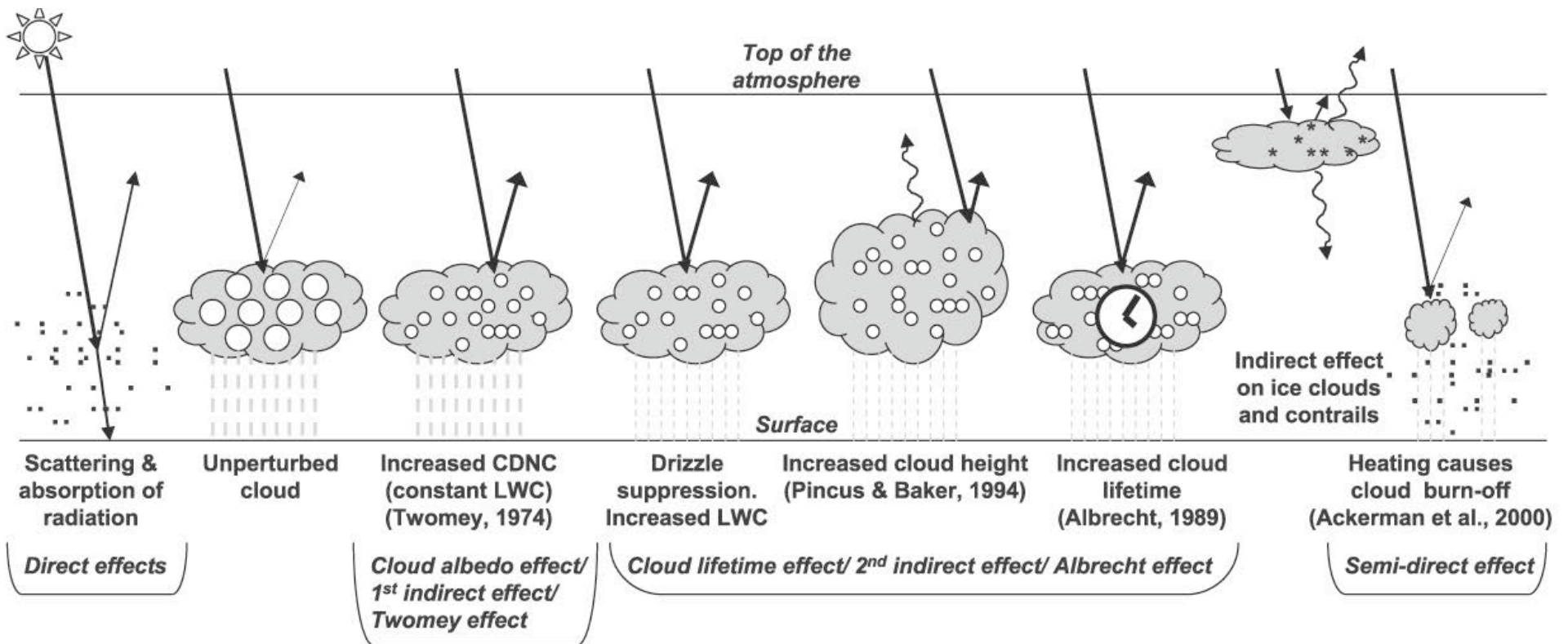
MODIS/Aqua MYD08_M3.A2005182.004.2005215085025.hdf none

MODIS-Atmosphere Project, NASA/Goddard Space Flight Center

← NASA image courtesy of Jeff Schmaltz, MODIS Rapid Response Team, NASA-Goddard Space Flight Center

Why are aerosols so difficult?

They interact with climate in many complicated ways



IPCC Fourth Assessment Report, 2007. Figure 2.10



Aerosols are not well understood

Even with same data, forcing estimates vary

- N. Bellouin, et al. Nature, 2005: $-1.9 \pm 0.3 \text{ Wm}^{-2}$
- C.E. Chung, et al. J Geophys Res, 2005: $-3.4 \pm 0.1 \text{ Wm}^{-2}$

Aerosol observation are often underdetermined. Models need *

- Aerosol optical thickness
- Aerosol size & refractive index
- Nonsphericity
- Cloud/aerosol interactions

Next generation of aerosol remote sensing: scanning polarimeters

*M. Mishchenko, B. Cairns, J. Hansen, L. Travis, R. Burg, Y. Kaufman, J. Vanderlei Martins, and E. Shettle. Monitoring of aerosol forcing of climate from space: analysis of measurement requirements. *J. Quant. Spectrosc. Radiat. Transfer*, 88(1-3):149–161, 2004.



Scanning Polarimeters

Research Scanning Polarimeter (RSP)

Airborne prototype of APS, similar properties

Aerosol Polarimetry Sensor (APS)

February 23rd launch date as part of NASA Glory mission

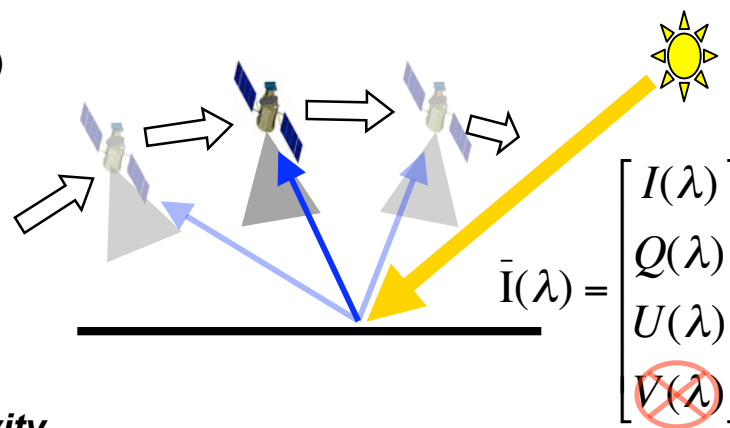


February 23, 2011

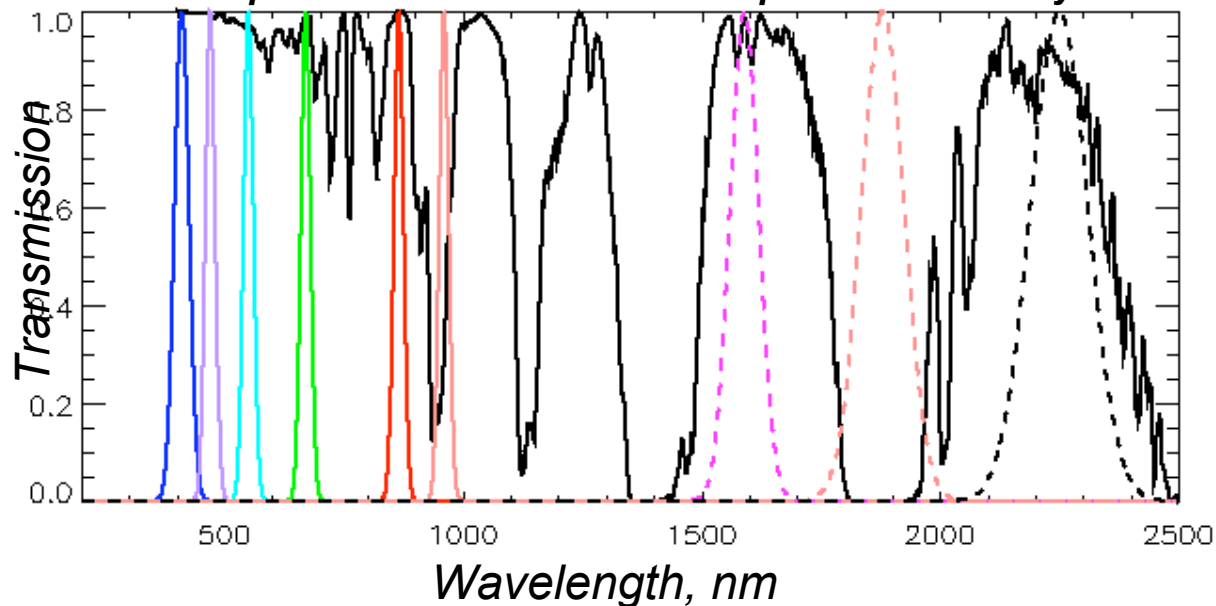
RSP and APS

Ideal for aerosol, cloud property retrieval

- Nine spectral channels, blue to infra-red (410 - 2250 nm)
- Scans along track (in the direction of motion)
- Polarized radiance - I, Q, U components of Stokes vector
- High (0.2%) accuracy for polarized radiances



Atmospheric transmission & RSP spectral sensitivity



RSP Aerosol channels:

410nm, 470nm, 555nm,
670nm, 865nm, 1590nm

RSO Other Channels:

960nm, 1880nm, 2250nm

Stokes Vectors

Polarization described by Stokes vectors

$$\bar{I} = \begin{bmatrix} I \\ Q \\ U \\ V \end{bmatrix} = \begin{bmatrix} \langle E_l E_l^* + E_r E_r^* \rangle \\ \langle E_l E_l^* - E_r E_r^* \rangle \\ \langle E_l E_r^* + E_r E_l^* \rangle \\ -i \langle E_l E_r^* - E_r E_l^* \rangle \end{bmatrix}$$

Total intensity
 Direction and magnitude of linear polarization
 Circular Polarization (neglected for atmosphere)

I typically use reflectance units (can be negative!)

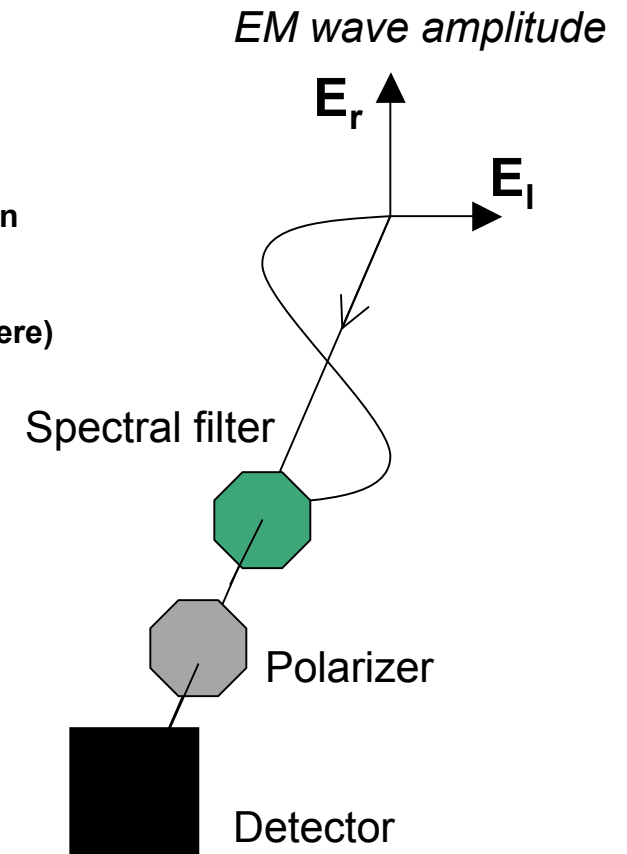
$$\begin{bmatrix} R_I \\ R_Q \\ R_U \\ R_V \end{bmatrix} = \frac{r_o^2 \pi}{F_o \cos \theta_s} \begin{bmatrix} I \\ Q \\ U \\ V \end{bmatrix}$$

(linearly) polarized reflectance
 $R_p = \sqrt{R_Q^2 + R_U^2}$
 (independent of E_r and E_l reference frame, but bounded at zero)

r_o - solar distance [AU]

F_o - annual average exo-atmospheric irradiance [W/m²]

θ_s - Solar zenith angle [degrees]



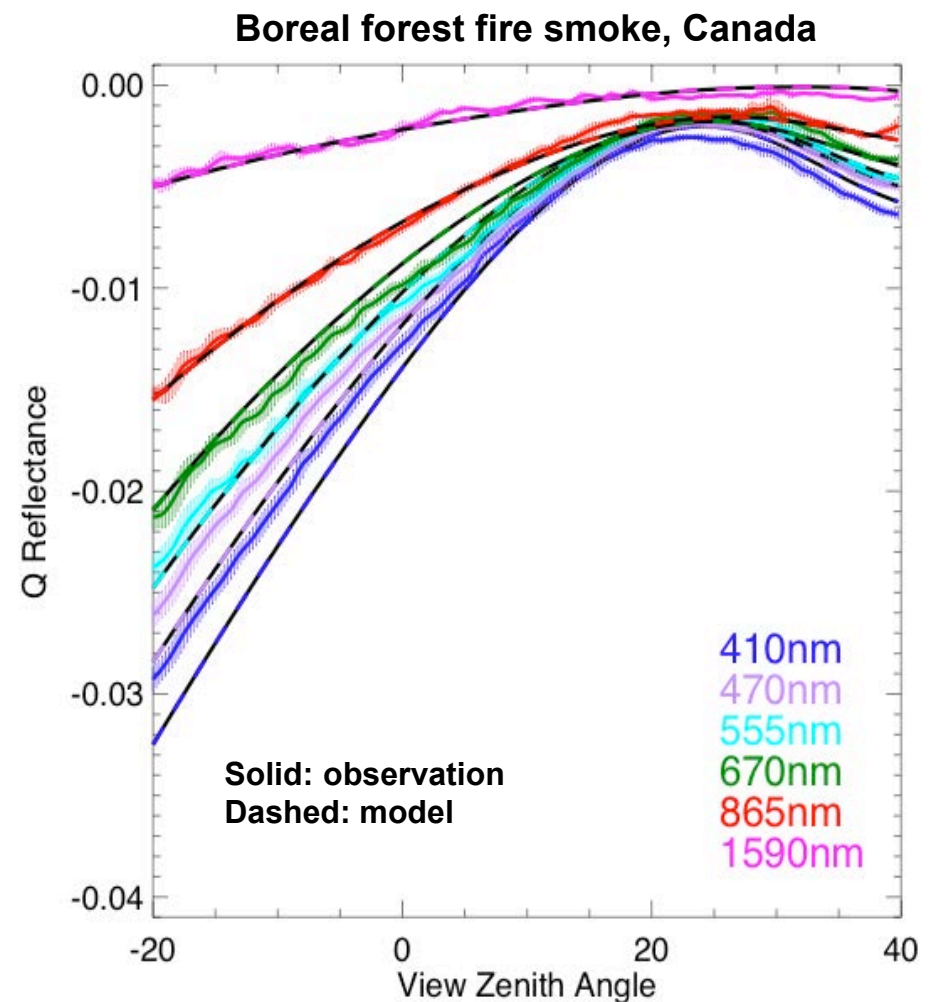


Aerosol Retrievals

A radiative transfer model is
tuned to match observations

Aerosol parameters that give
the best match are the
'retrieved' values

What do we retrieve?



Aerosol Retrievals

A radiative transfer model is tuned to match observations

Aerosol parameters that give the best match are the 'retrieved' values

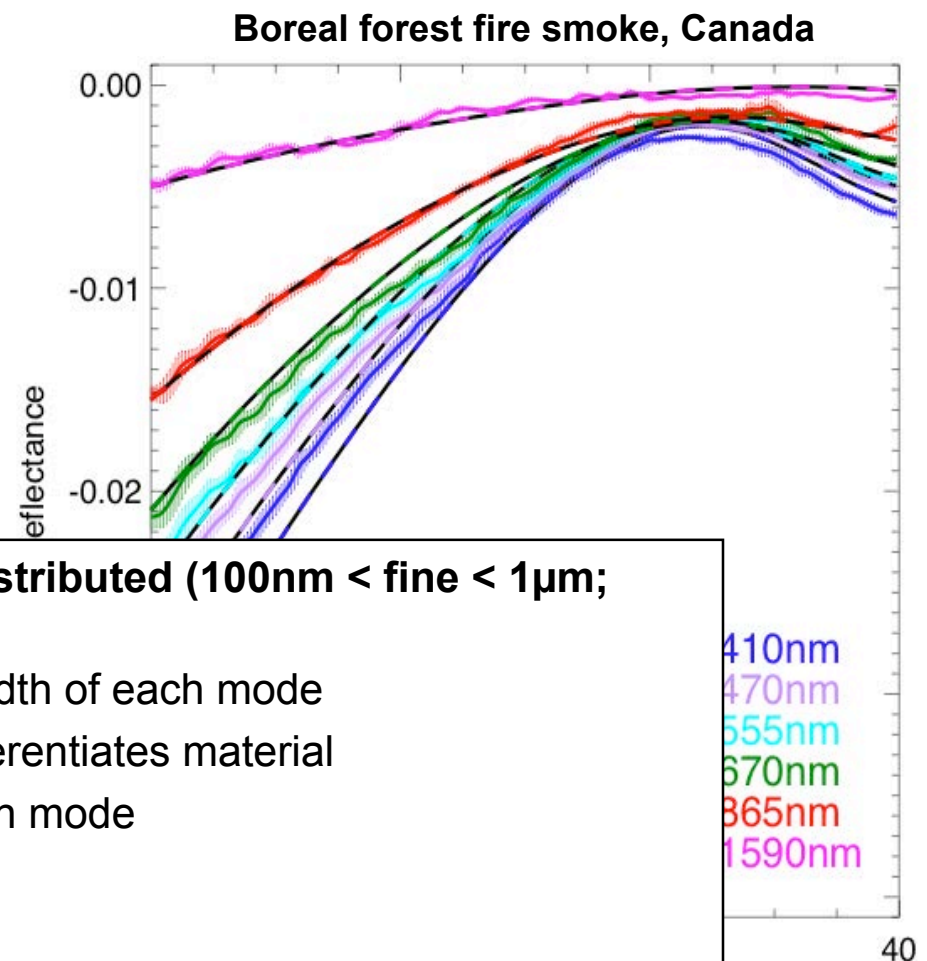
What do we retrieve?

Aerosols are generally bimodally distributed ($100\text{nm} < \text{fine} < 1\mu\text{m}$; coarse $> 1\mu\text{m}$)

- **Size distribution:** mean and width of each mode
- **Complex refractive index:** differentiates material
- **Number concentration:** of each mode

From this we derive other values

- **Aerosol Optical Thickness:** total column attenuation
- **Single Scattering Albedo:** ratio of scattering to total extinction



Optimal Estimation

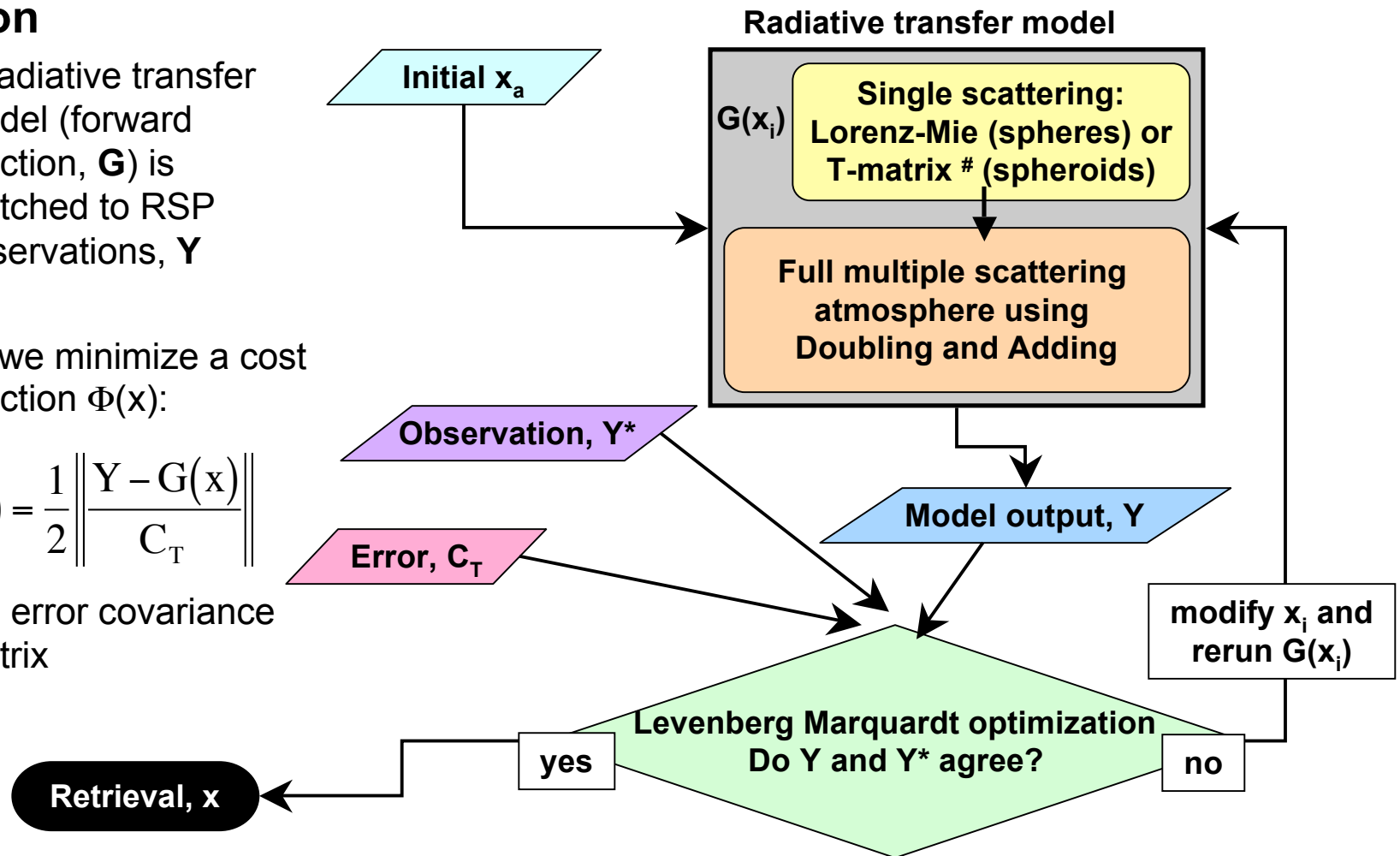
Inversion

- A radiative transfer model (forward function, G) is matched to RSP observations, Y

- ie. we minimize a cost function $\Phi(x)$:

$$\Phi(x) = \frac{1}{2} \left\| \frac{Y - G(x)}{C_T} \right\|^2$$

- C_T : error covariance matrix





Optimal Estimation

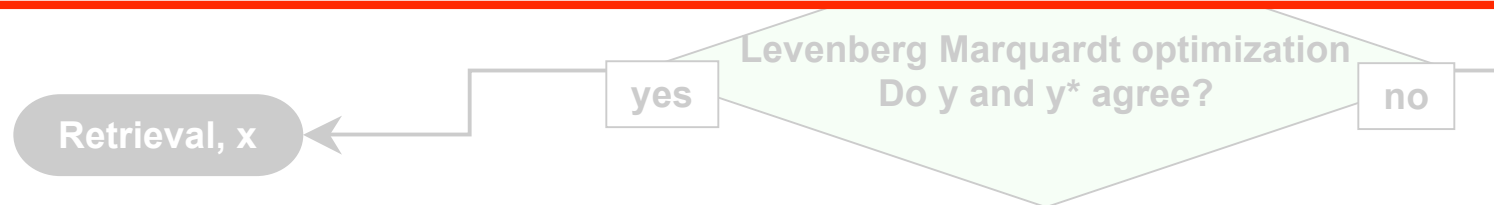
Inversion

Radiative transfer model

Thesis:

Creation of “Doubling and Adding Optimization” (DAO) algorithm and software

DAO used to test RSP/APS capability with data from several field campaigns



Optimal Estimation

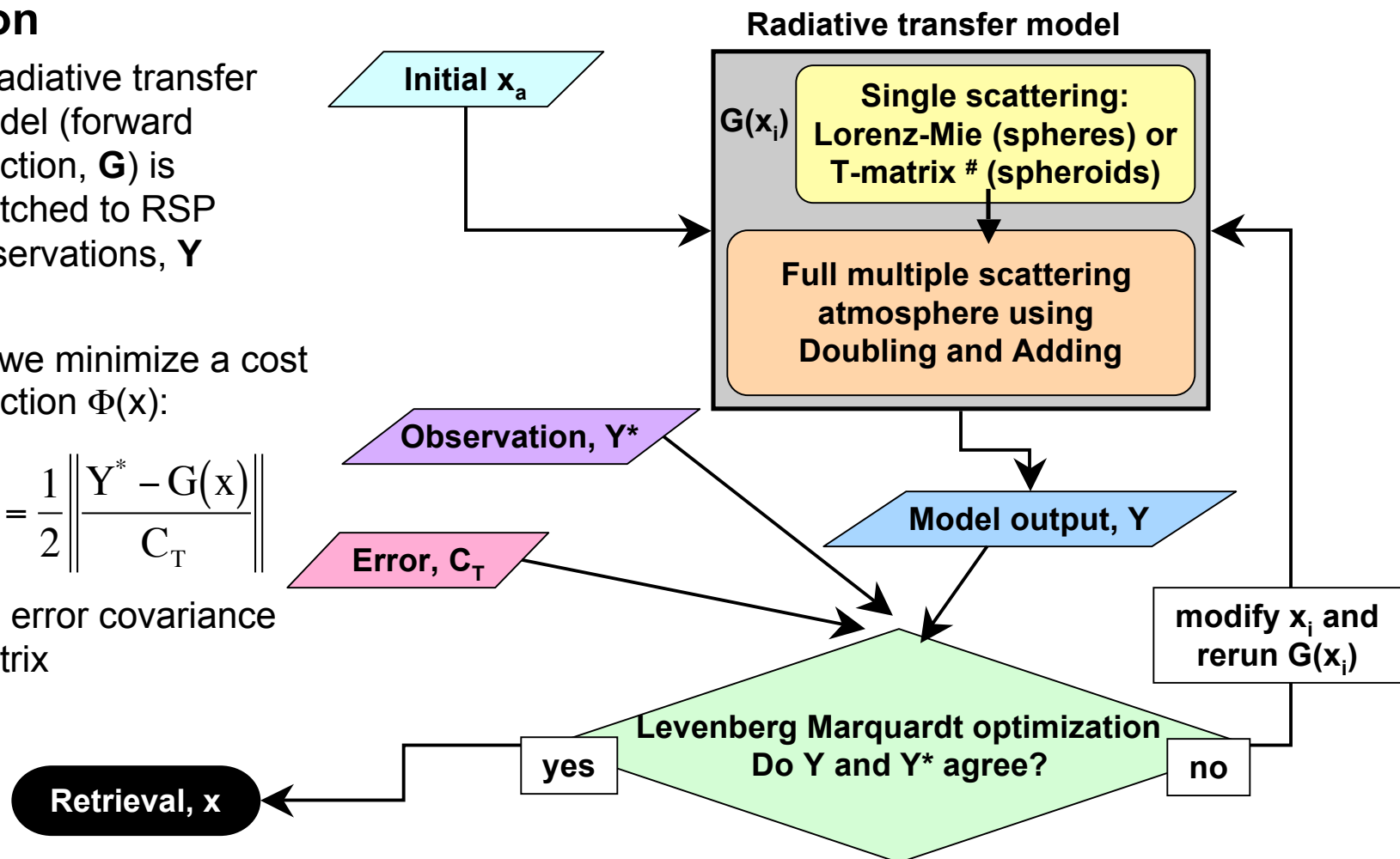
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Optimal Estimation

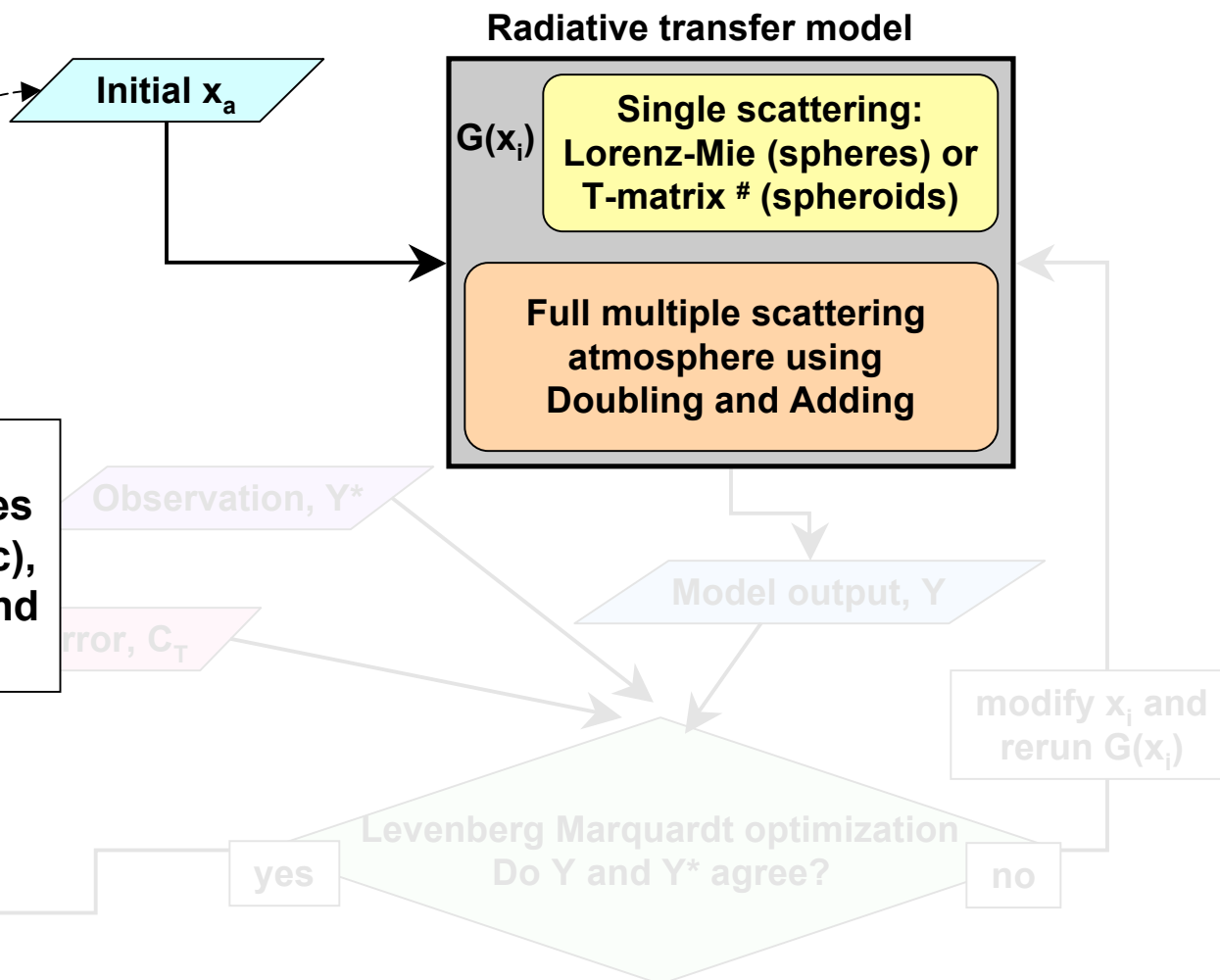
Inversion

- A radiative transfer model (forward function, G) is matched to RSP observations, Y

- ie. we minimize a cost

First guess of aerosol inherent optical properties (size, refractive index, etc), number concentration, and vertical distribution

- C_T : error covariance matrix





Single Scattering

Inversion

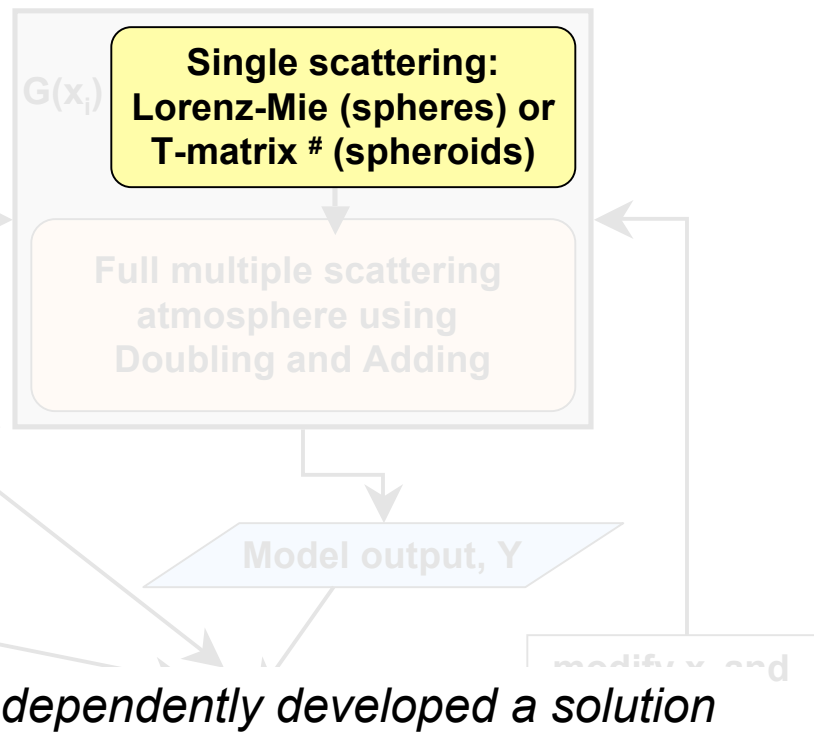
Lorenz-Mie theory for spheres:

- Unit Extinction
- Unit Absorption
- Scattering as a function of angle

given particle

- Size distribution
- Complex refractive index

Radiative transfer model



Ludvig Lorenz (1890) and Gustav Mie (1908) independently developed a solution to Maxwell's equations in spherical polar coordinates.

See: M. Mishchenko and L. Travis. Gustav Mie and the evolving discipline of electromagnetic scattering by particles. Bull. Amer. Meteor. Soc., 89(12):1853–1861, 2008.

M. Mishchenko and L. Travis. Capabilities and limitations of a current FORTRAN implementation of the T-matrix method for randomly oriented, rotationally symmetric scatterers-Computational Methods. *J. Quant. Spectrosc. Radiat. Transfer*, 60(3):309–324, 1998.



Optimal Estimation

Inv

Doubling and Adding technique calculates

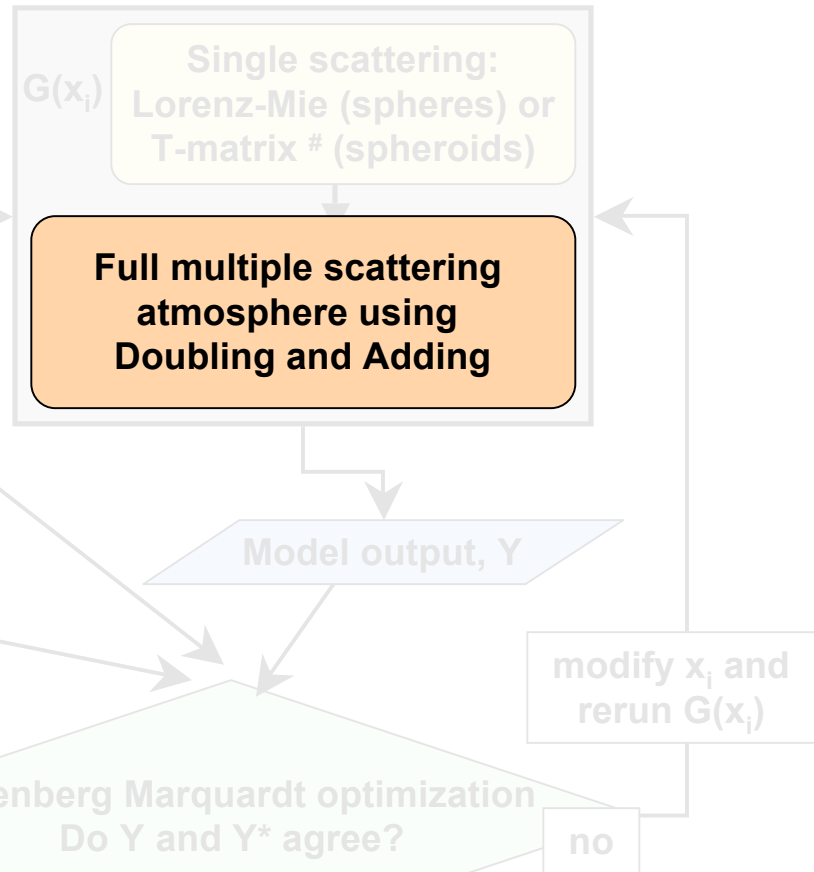
- **Multiple scattering**
- **Reflectances at observational geometry**

given

- **Single Scattering from Lorenz-Mie**
- **Aerosol quantity and vertical distribution**
- **Surface reflectance**

(see references below)

Radiative transfer model



J. de Haan, P. Bosma, and J. Hovenier. The adding method for multiple scattering calculations of polarized light. *Astron. Astrophys.*, 183(2):371–391, 1987.

J. Hansen and L. Travis. Light scattering in planetary atmospheres. *Space Science Reviews*, 16:527–610., 1974.

J. Hovenier. Multiple Scattering of Polarized Light in Planetary Atmospheres. *Astron. Astrophys.*, 13:7, 1971.

Optimal Estimation

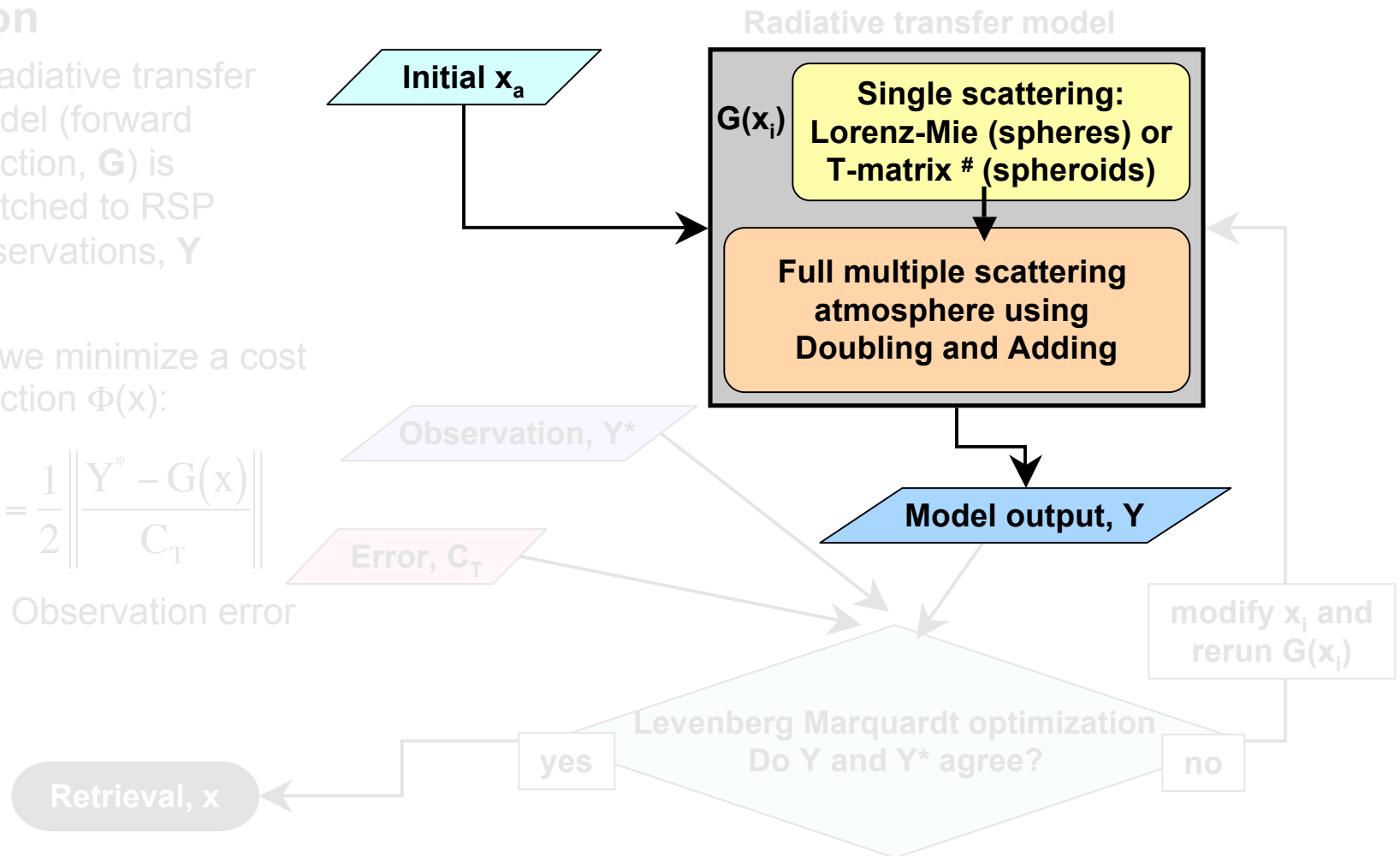
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- C_T : Observation error





Optimal Estimation

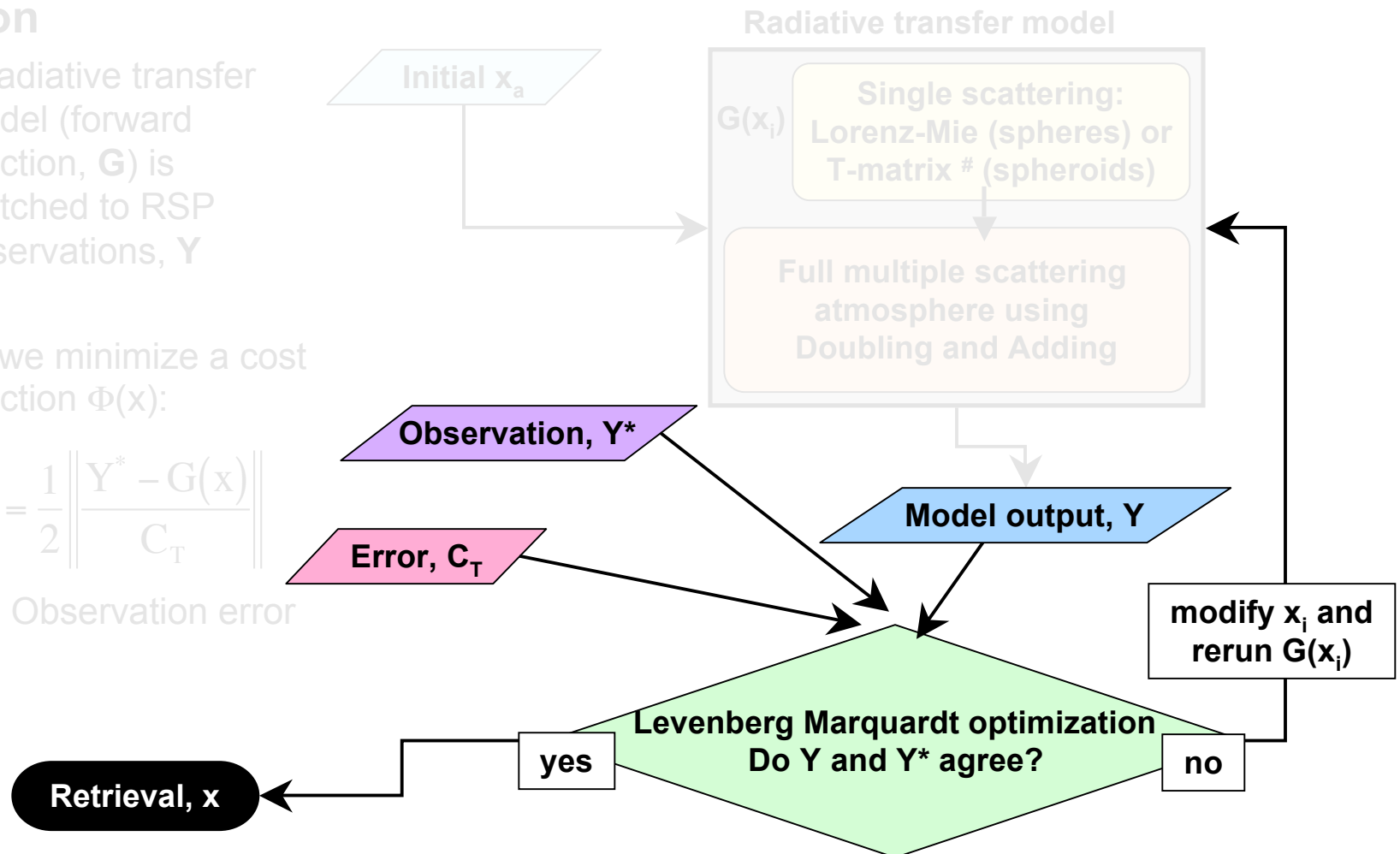
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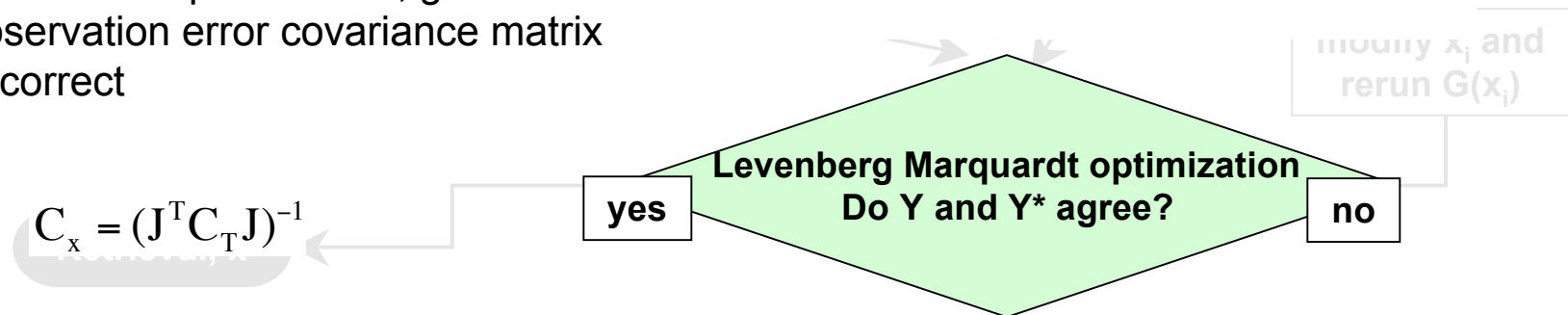
Optimal Estimation

Levenberg-Marquardt optimal estimation

- Iterative search of state space (\mathbf{x}) to find best match between observations, \mathbf{Y}^* , and forward model output: $\mathbf{Y}=\mathbf{G}(\mathbf{x})$
- Intended for nonlinear $\mathbf{G}(\mathbf{x})$
- At each iteration step (k), we must numerically estimate the Jacobian matrix:

$$\mathbf{J}_k = \left. \frac{\partial \mathbf{G}(\mathbf{x})}{\partial \mathbf{x}} \right|_{\mathbf{x}=\mathbf{x}_k}$$

- Provides accurate error estimates for retrieved parameters, given that observation error covariance matrix is correct





Optimal Estimation

DAO Summary

- Doubling and Adding Optimization (DAO) software computes aerosol properties given RSP observations
- This is NOT the software that will be used for Glory APS operational retrievals. BUT it is useful to assess RSP/APS capability, since what is defined as the observation and state vectors (\mathbf{Y} and \mathbf{x} , respectively) are easily modified.
- DAO has been used for two chapters in this thesis, both of which will be submitted soon the Atmospheric Chemistry and Physics
 - ARCTAS** - *Combined retrievals of boreal forest fire aerosol properties with a Polarimeter and a Lidar*
 - MILAGRO** - *Simultaneous retrieval of aerosol and cloud properties during the MILAGRO field campaign*



1st Case Study a dense smoke plume

Smoke plume observations from the *Arctic Research of the Composition of the Troposphere from Aircraft and Satellites (ARCTAS)* field campaign

Absorbing aerosols are **difficult** to retrieve **without height** information

Combined polarimeter + LIDAR retrievals may be needed for global estimates of aerosol absorption



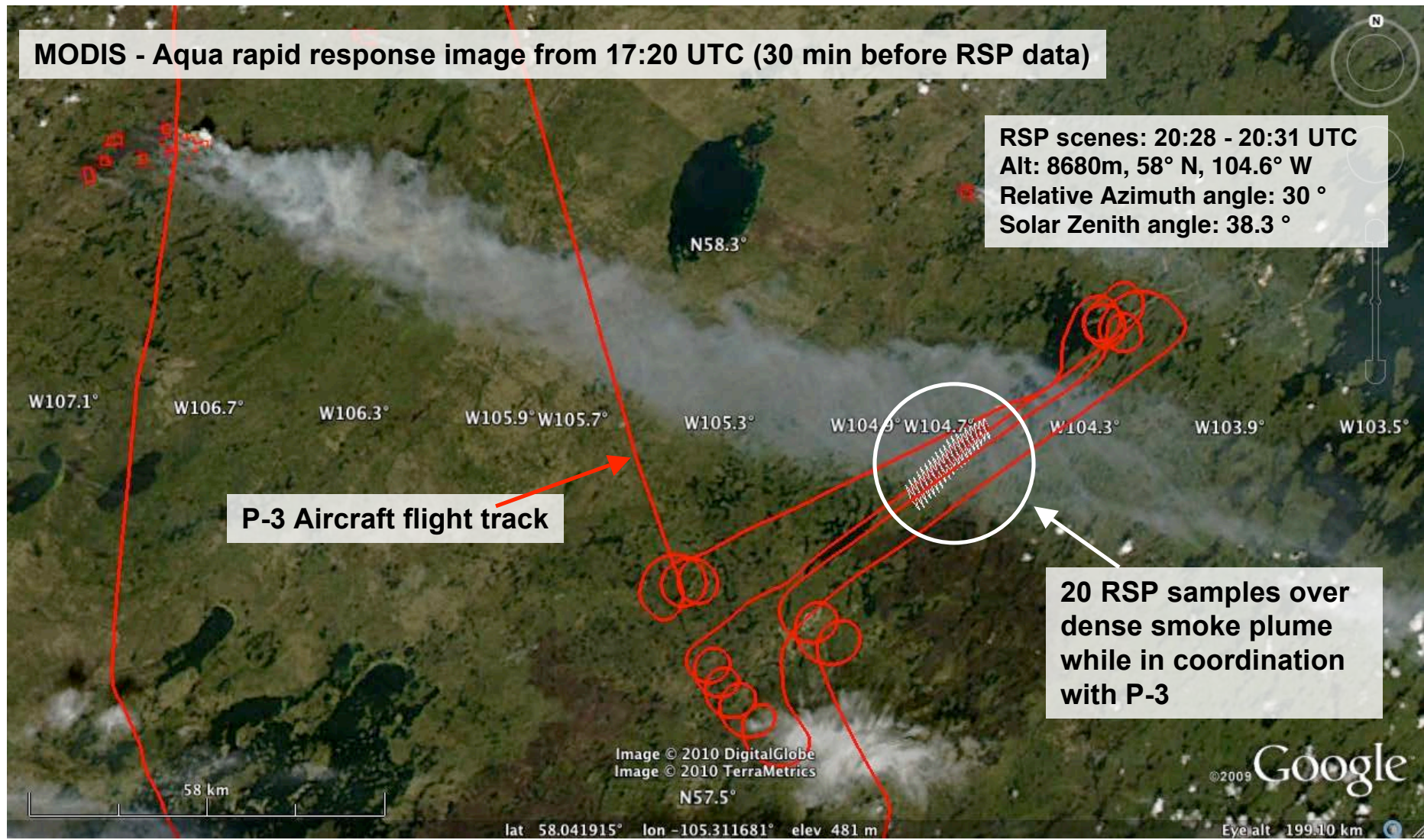
ARCTAS

- RSP on the NASA **B200** aircraft, also the High Spectral Resolution Lidar (**HSRL**)
- Summer stage: B200 based in Yellowknife, NWT, Canada June-July 2008
- Flew coordinated flights with **P3** aircraft (*in situ* sampling instrumentation)
- Main goal: observation of **smoke** from **boreal forest fires**

February 23, 2011



ARCTAS dense smoke scene



February 23, 2011



ARCTAS dense smoke scene

Data

- 6 RSP polarized channels (410nm, 470nm, 555nm, 670nm, 865nm, and 1590nm)
- 1 RSP total reflectance channel (410nm)
- ~75 Angular observations between 20° forward (toward the sun) and 40° backwards
- Total number of observations: 525

Assumptions

- **Aerosol:** are so optically thick that the ground reflectance is unimportant for the shortest wavelength (**this allows the use of total reflectance at 410nm**)
- Complex refractive index is spectrally constant
- Aerosols are spheres

Test

- Aerosol retrieval **without height information** (distributed between ground and retrieved top altitude), **vs**
- Aerosol retrieval **using aerosol layer heights from HSRL**

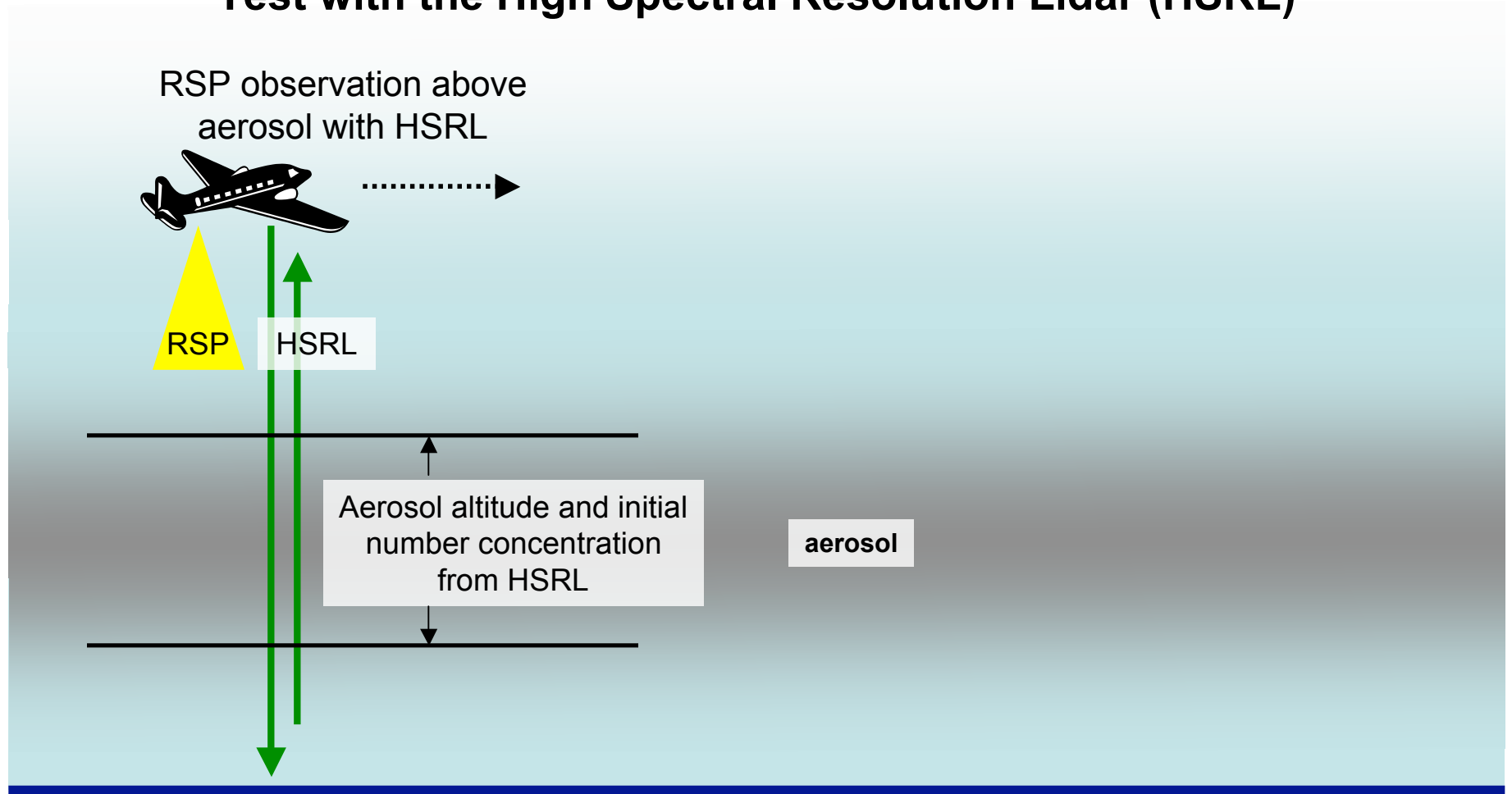
Initial values

- Boreal forest fire AERONET model from Dubovik et al. 2002



ARCTAS dense smoke scene

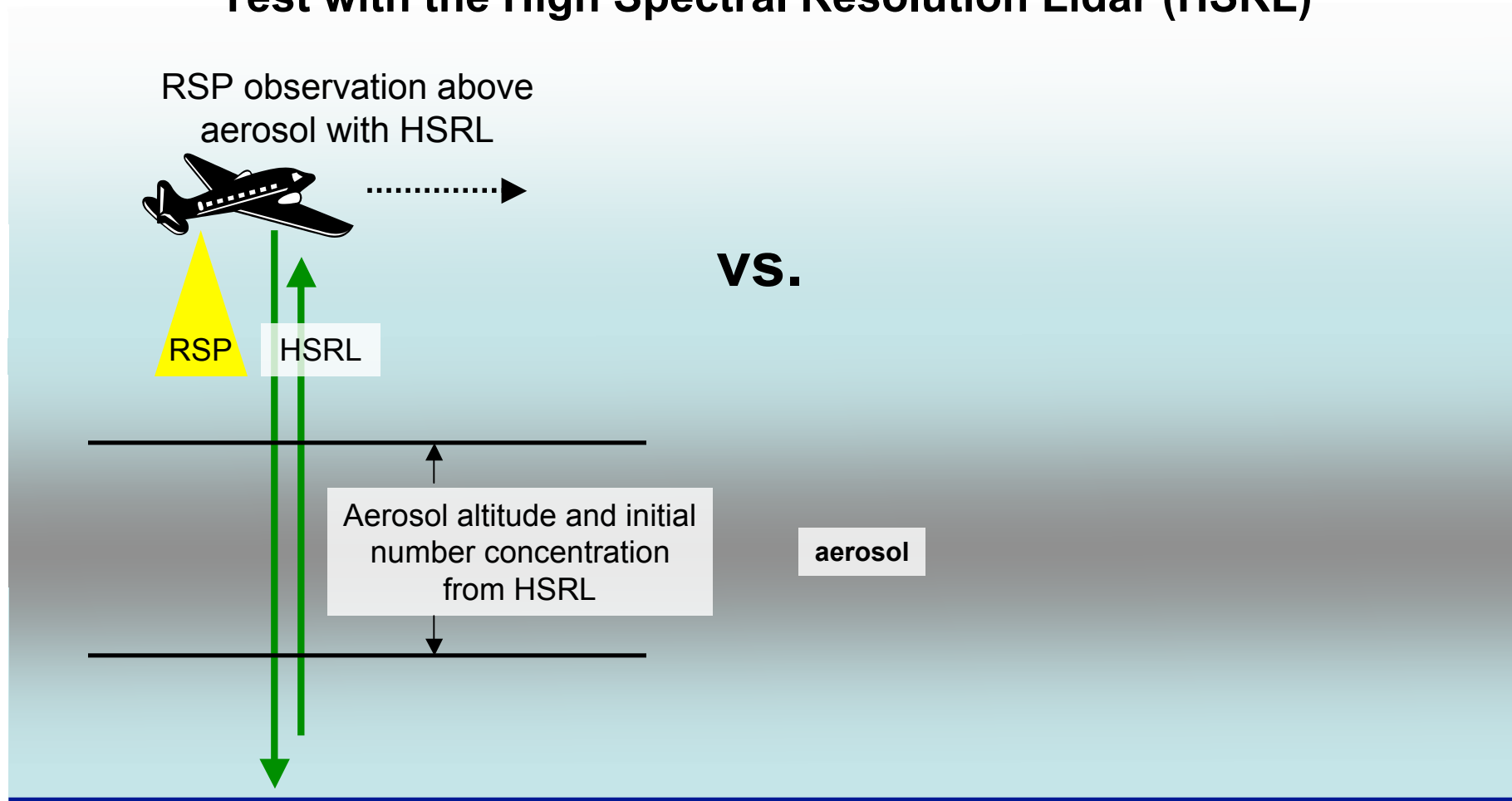
**Are combined polarimeter-lidar retrievals better?
Test with the High Spectral Resolution Lidar (HSRL)**





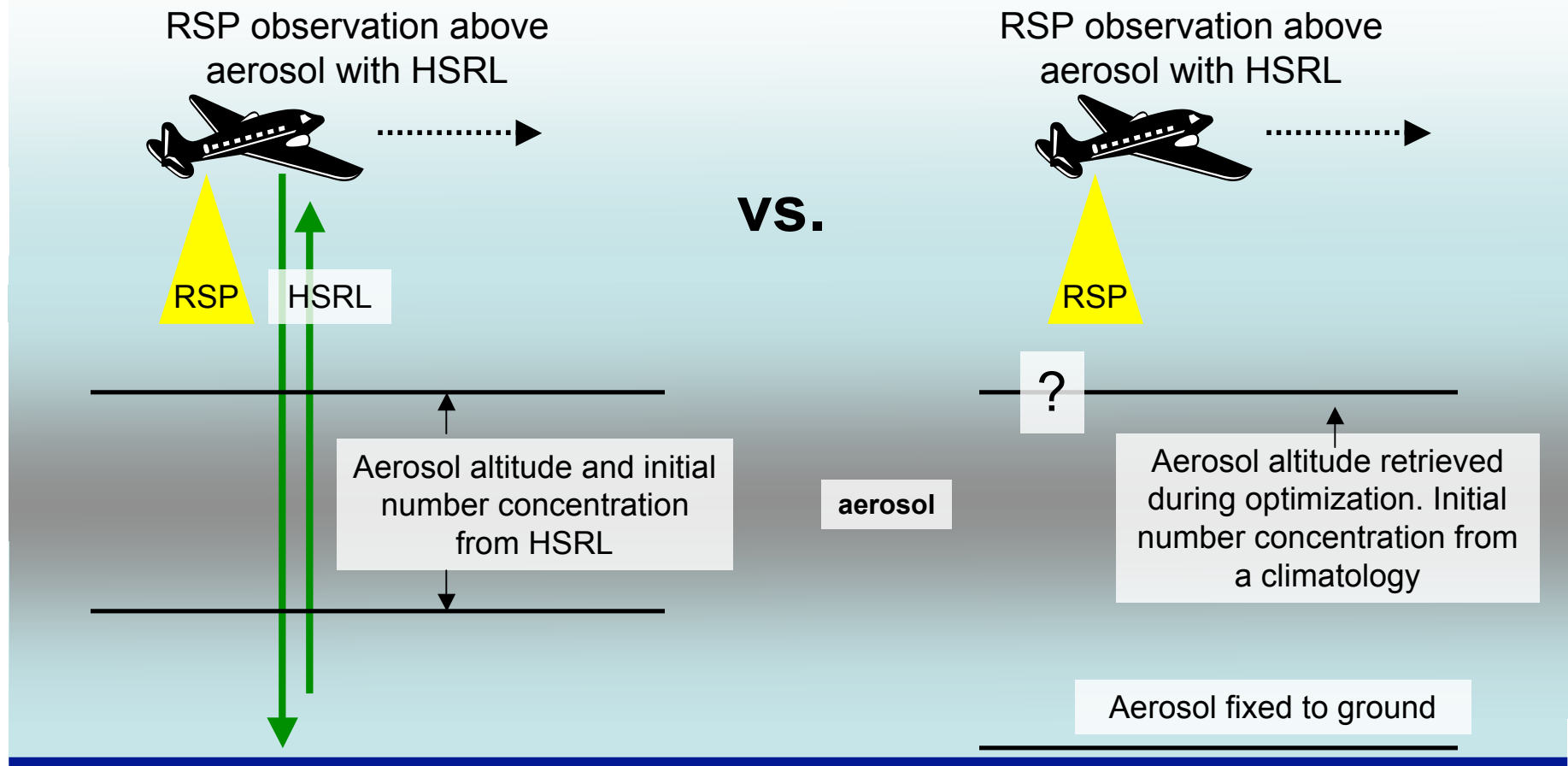
ARCTAS dense smoke scene

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ARCTAS dense smoke scene

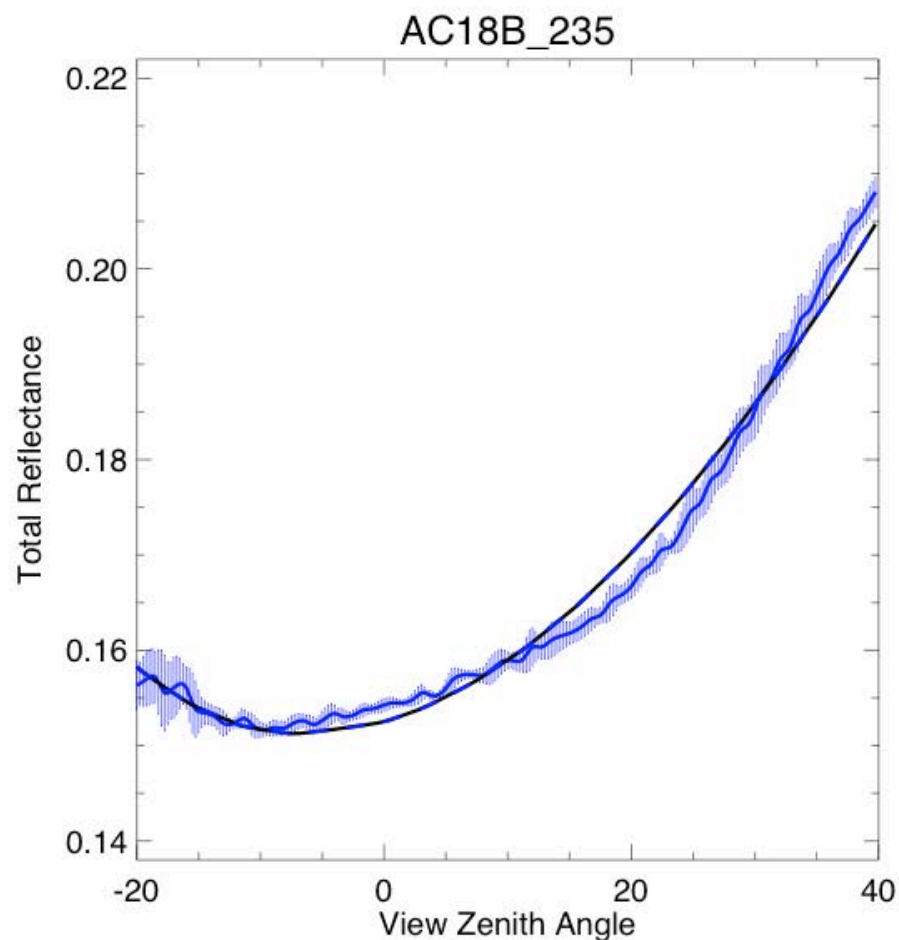
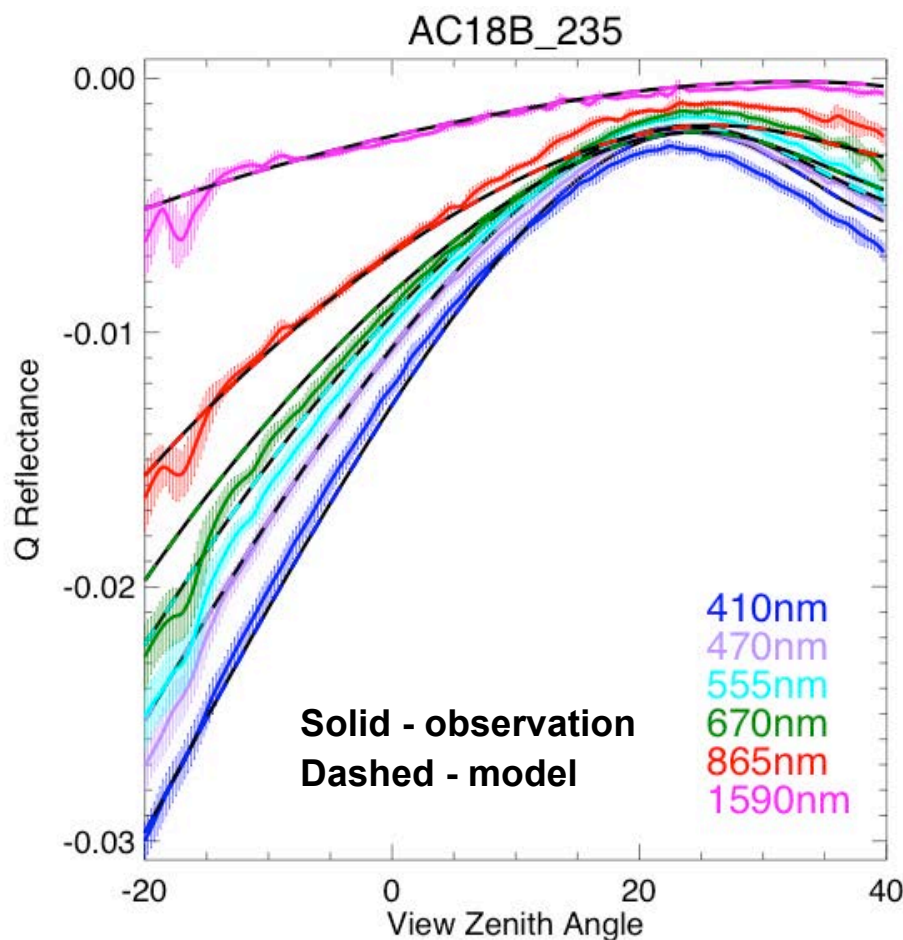
Are combined polarimeter-lidar retrievals better?
Test with the High Spectral Resolution Lidar (HSRL)





ARCTAS dense smoke scene

Example retrieval from one of 20 scenes



410nm 470nm 555nm 670nm 865nm 1590nm



ARCTAS dense smoke scene

	With HSRL		Without HSRL	
Fine mode Aerosol				
Real Refractive Index	1.45	± 0.05	1.55	± 0.08
Imaginary Refractive Index	0.005	± 0.0036	0.016	± 0.0064
Effective Radius [μm]	0.14	± 0.02	0.11	± 0.01
Effective Variance	0.24	± 0.05	0.32	± 0.05
Number Concentration	17.0	± 0.11	61.7	± 0.18
Coarse mode Aerosol				
Number Concentration	0.0009	± 0.001	0.0001	± 0.002
Derived parameters				
Aerosol Optical Thickness, 532nm	0.70	± 0.39	0.67	± 0.30
Single Scattering Albedo*, 532nm	0.96	± 0.02	0.92	± 0.03

* (fine mode)

Values are the **mean** for the set



ARCTAS dense smoke scene

Retrievals are different

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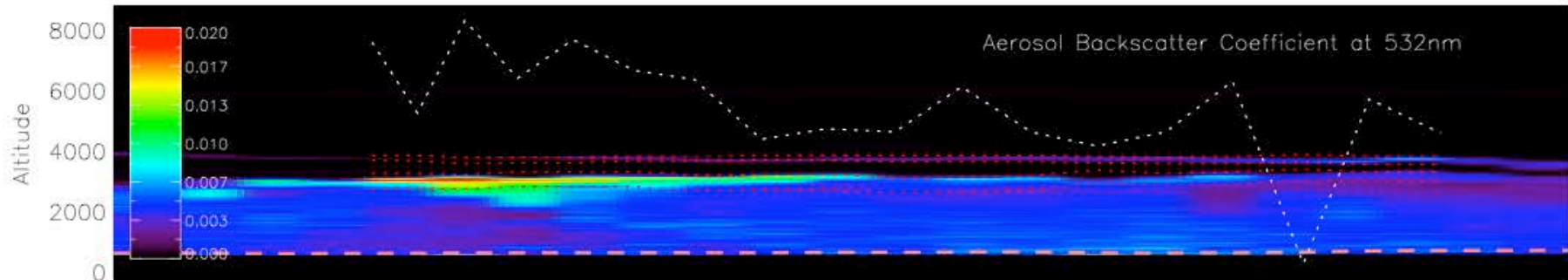
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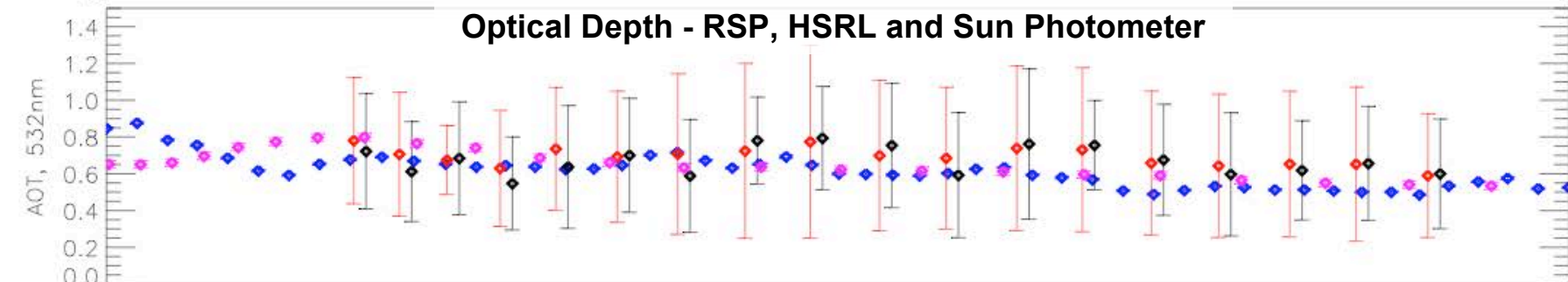
But optical depth is similar...



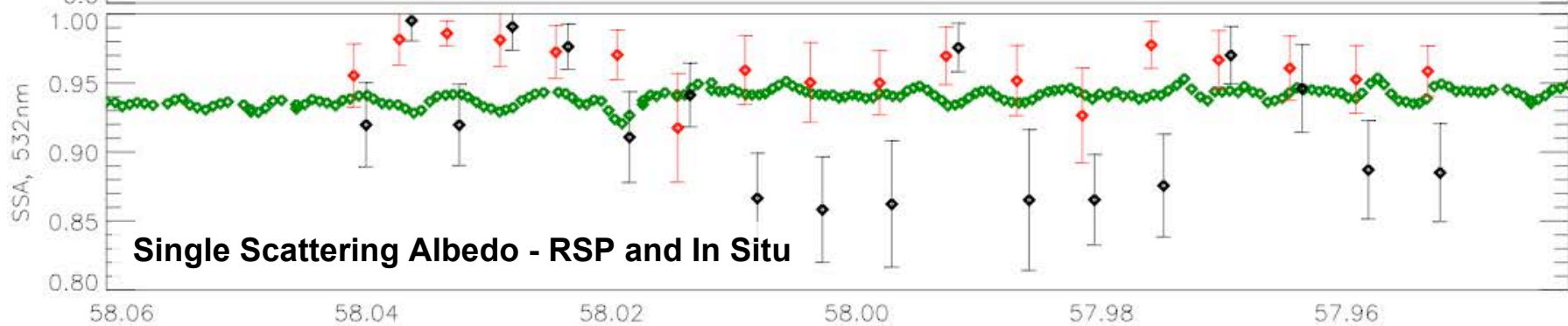
HSRL Backscatter coefficient. Dashed lines are layer heights



Optical Depth - RSP, HSRL and Sun Photometer



Single Scattering Albedo - RSP and In Situ



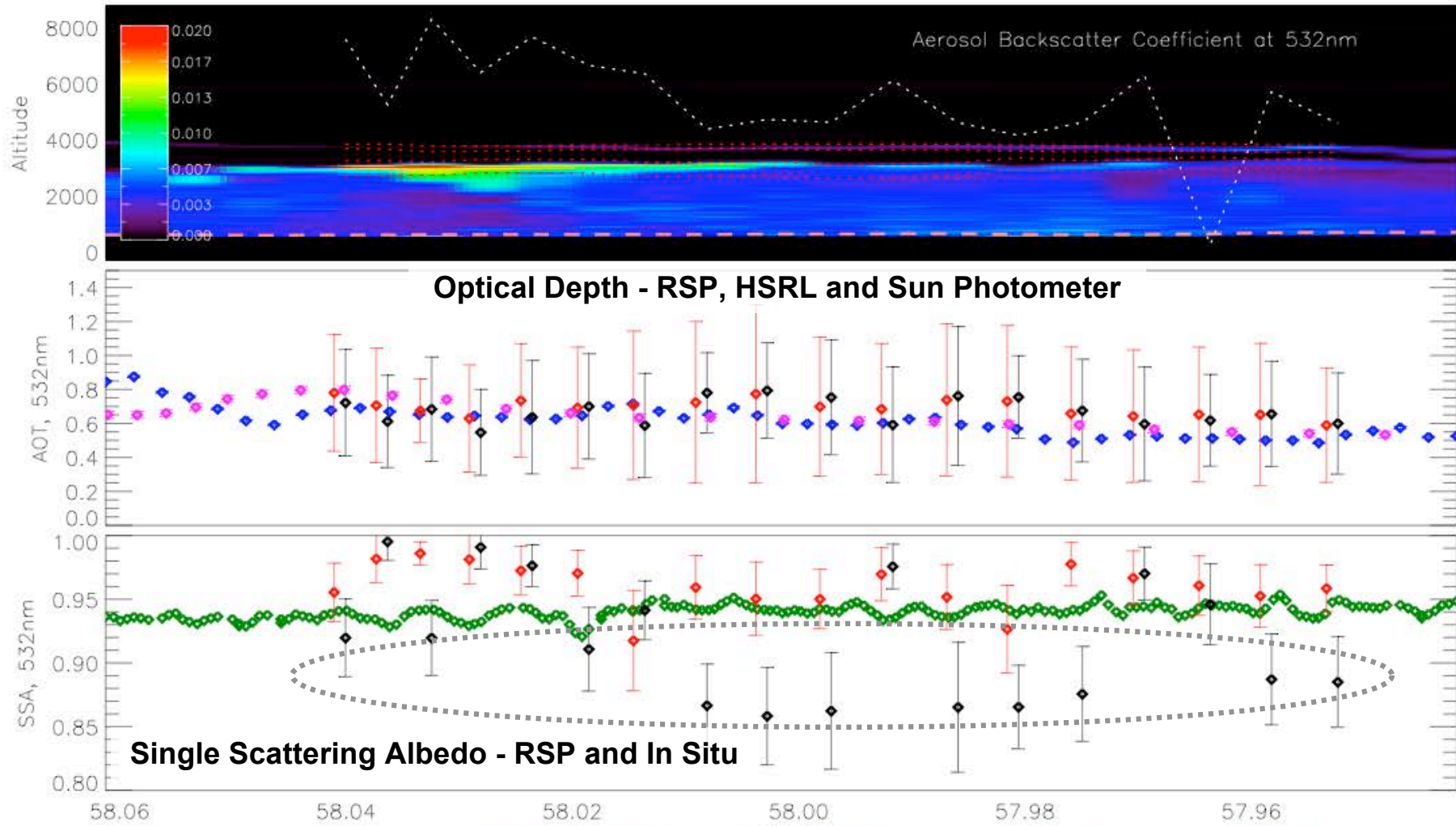
HSRL optical depth AATS (sun photometer)
HiGEAR (in situ) RSP - HSRL specified layers
RSP - layers attached to ground

Latitude

February 23, 2011



HSRL Backscatter coefficient. Dashed lines are layer heights



HSRL optical depth AATS (sun photometer)
HiGEAR (in situ) RSP - HSRL specified layers
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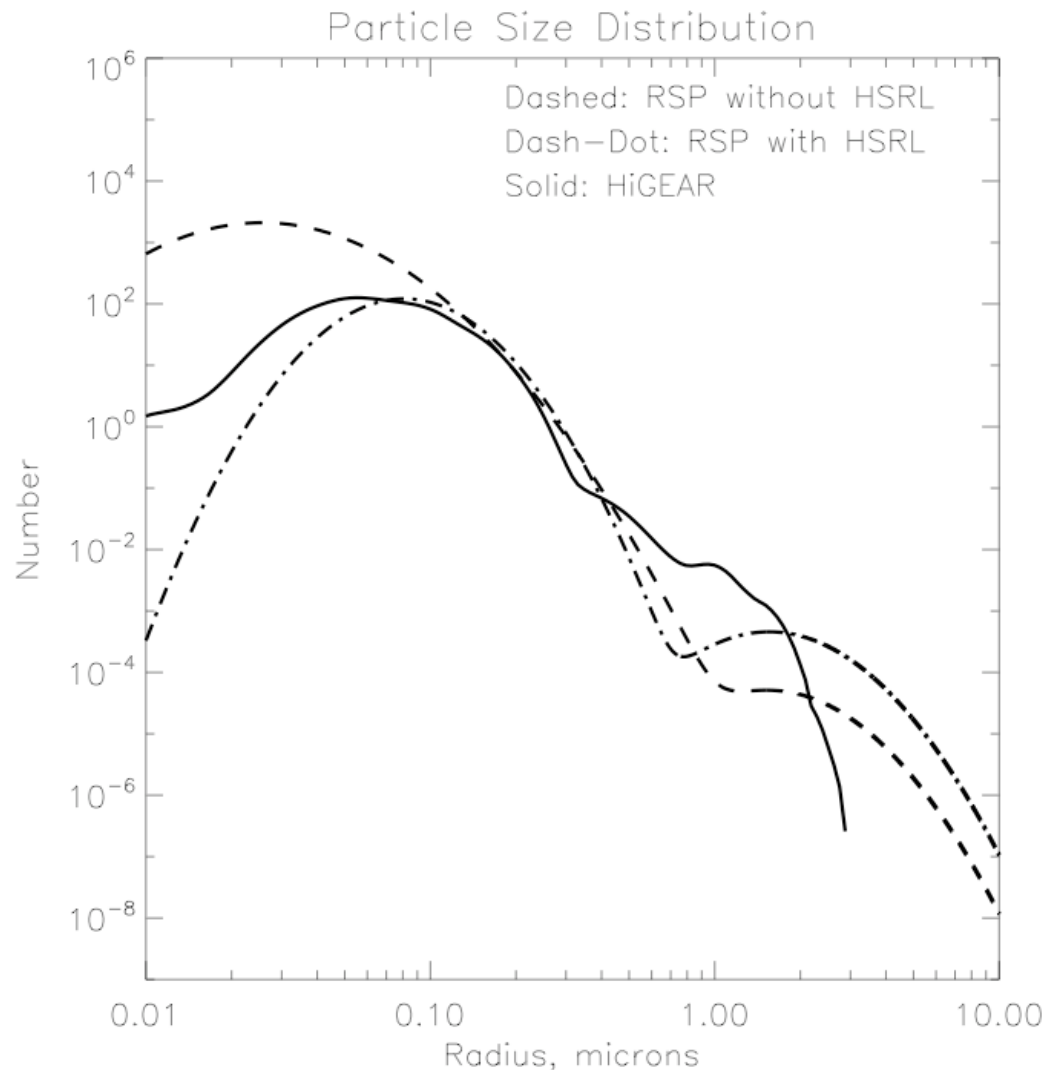


ARCTAS dense smoke scene

We are encountering two different minima, which are equally valid in parameter space

Both scenarios produce a size distribution that is strikingly similar to in situ observations and each other in the 0.1-0.4 μm radius range

Geophysically “correct” results are **certain only if optimization is started close to solution**



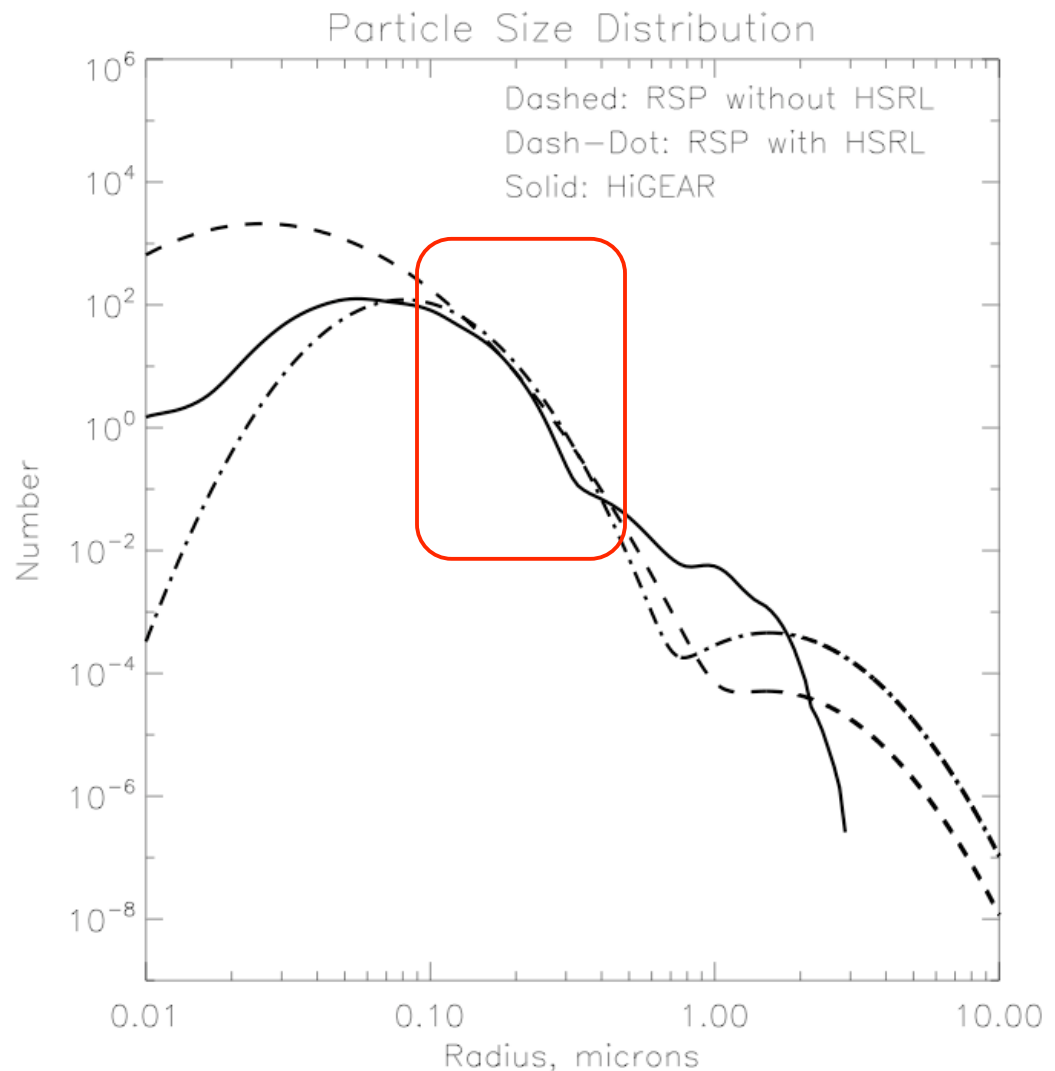


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ARCTAS dense smoke scene

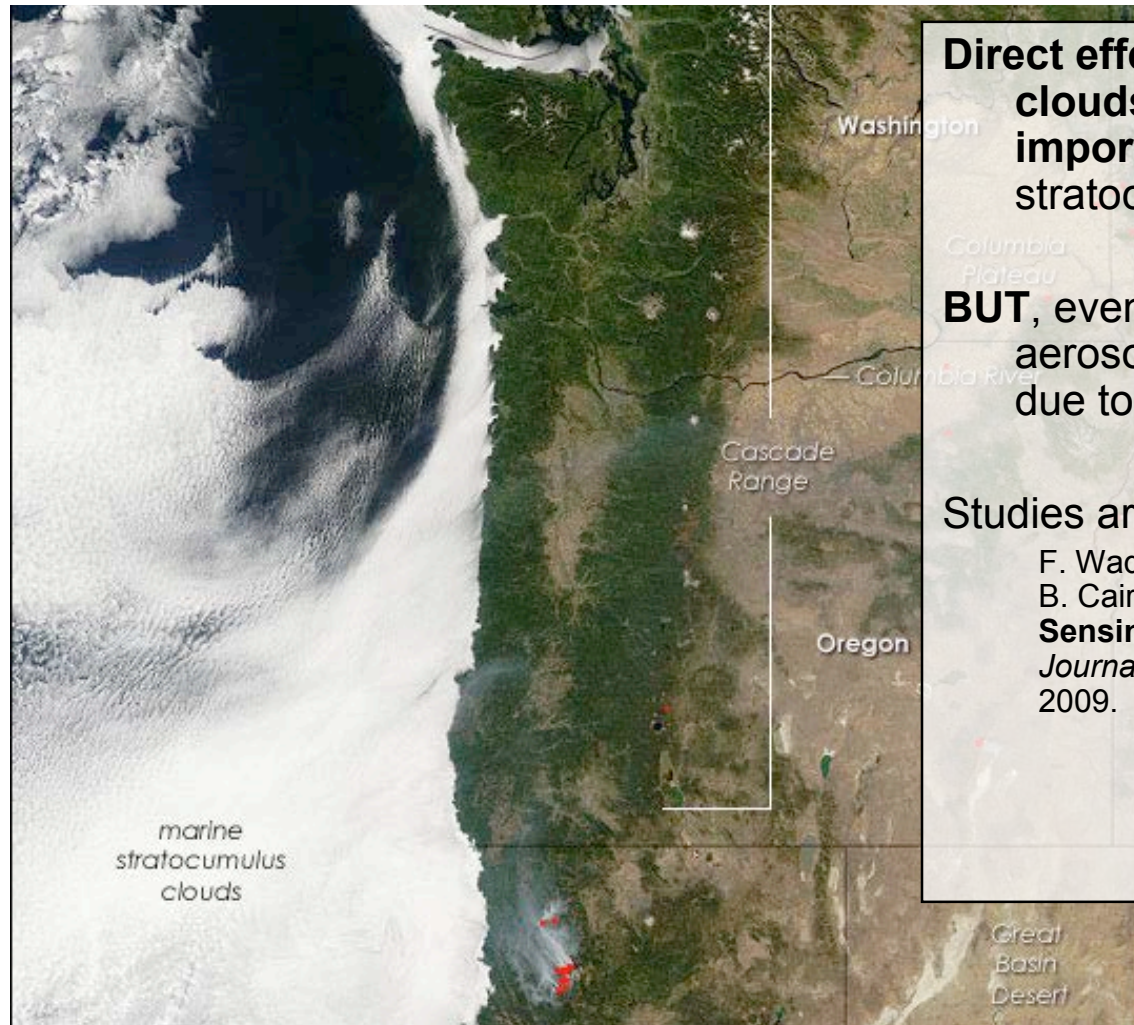
Interpretation and Conclusions

- About half of the retrievals without HSRL data converge to a false minima
- The false minima is expressed in fine mode size and refractive index, but not optical depth
- “Successful” retrievals without HSRL data are similar to those that use HSRL aerosol layer heights
- **Accurate initial number concentration estimates are important, vertical distribution less so.**
- Large aerosol optical thickness error, despite similarity in results. This is motivation for changes in next chapter.
- We have no *in situ* comparisons for refractive index
- Lidar data could be used in more sophisticated ways - such as vertical profiles



2nd Case Study aerosols over clouds

MODIS Terra image from NASA Earth Observatory



Direct effect of aerosols lofted above clouds could be **climatologically important** - especially for low level marine stratocumulus clouds

BUT, even the sign of the radiative forcing of aerosols in cloudy regions is **unknown[#]**, due to a **lack of data**

Studies are just beginning

F. Waquet, J. Riedi, L. Labonnote, P. Goloub, B. Cairns, J. Deuzé, and D. Tanré. **Aerosol Remote Sensing over Clouds Using A-Train Observations.** *Journal of the Atmospheric Sciences*, 66(8):2468–2480, 2009.

[#] see: M. Schulz, C. Textor, S. Kinne, Y. Balkanski, S. Bauer, T. Berntsen, T. Berglen, O. Boucher, F. Dentener, S. Guibert, et al. Radiative forcing by aerosols as derived from the AeroCom present-day and pre-industrial simulations. *Atmospheric Chemistry and Physics*, 6(12):5246, 2006.



MILAGRO Aerosol over cloud

We look at a scene from the Megacity Initiative: Local and Global Research Observations (**MILAGRO**) field campaign, based in central Mexico in April and March of 2006

Jetstream-31 aircraft had:

- Solar Spectral Flux Radiometer (**SSFR**)
- Cloud Absorption Radiometer (**CAR**)
- Ames Airborne Tracking Sunphotometer (**AATS-14**)
- Research Scanning Polarimeter (**RSP**)

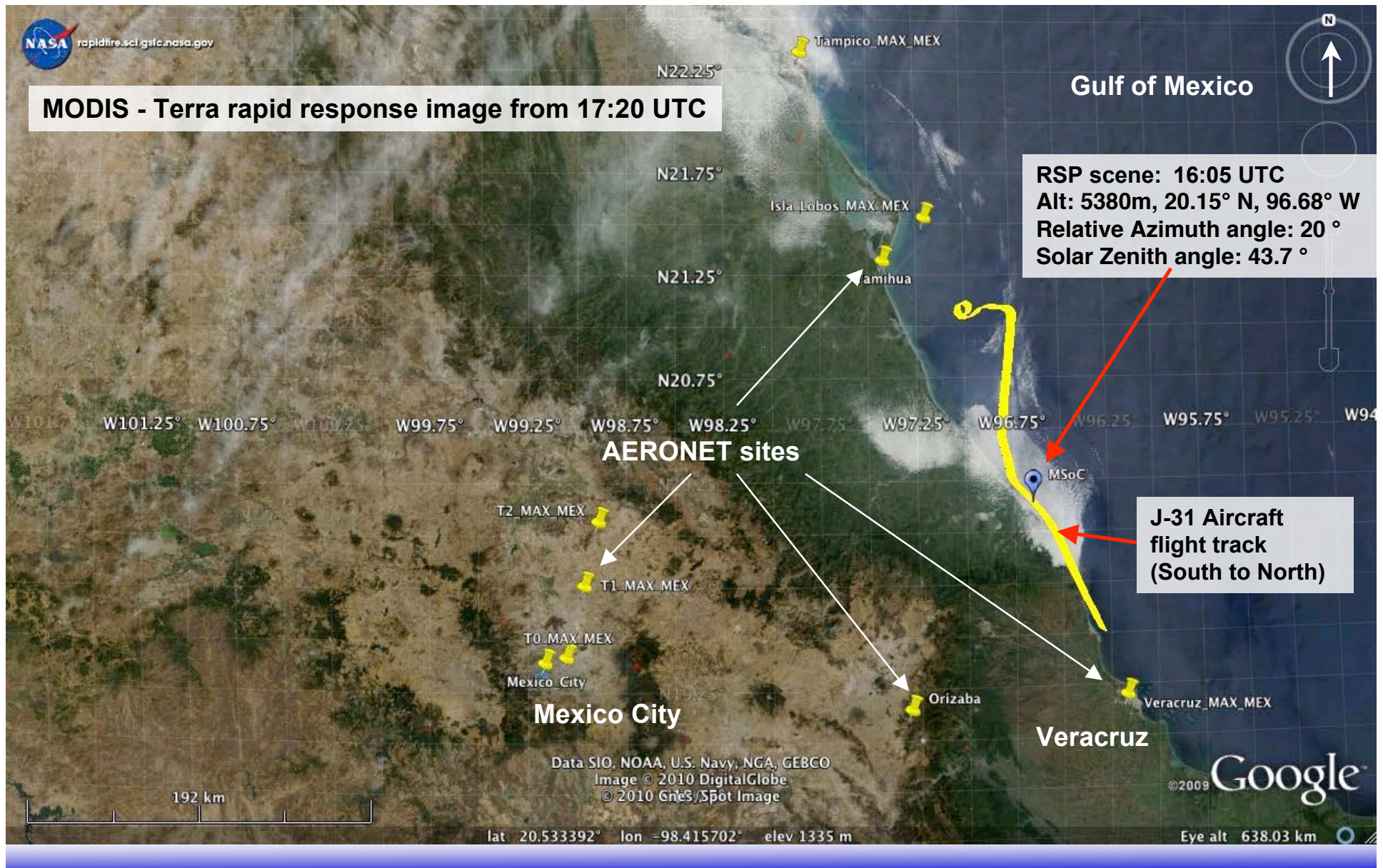


Nearby AERONET sites with data

- Tamihua - 145 km North West
- T2 MaxMex - 230 km West



MILAGRO Aerosol over cloud



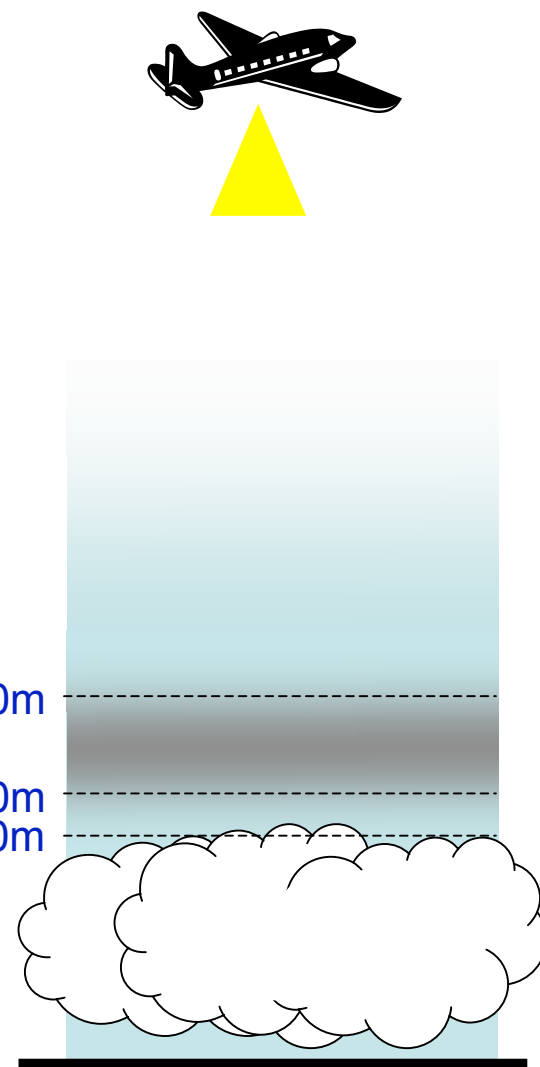
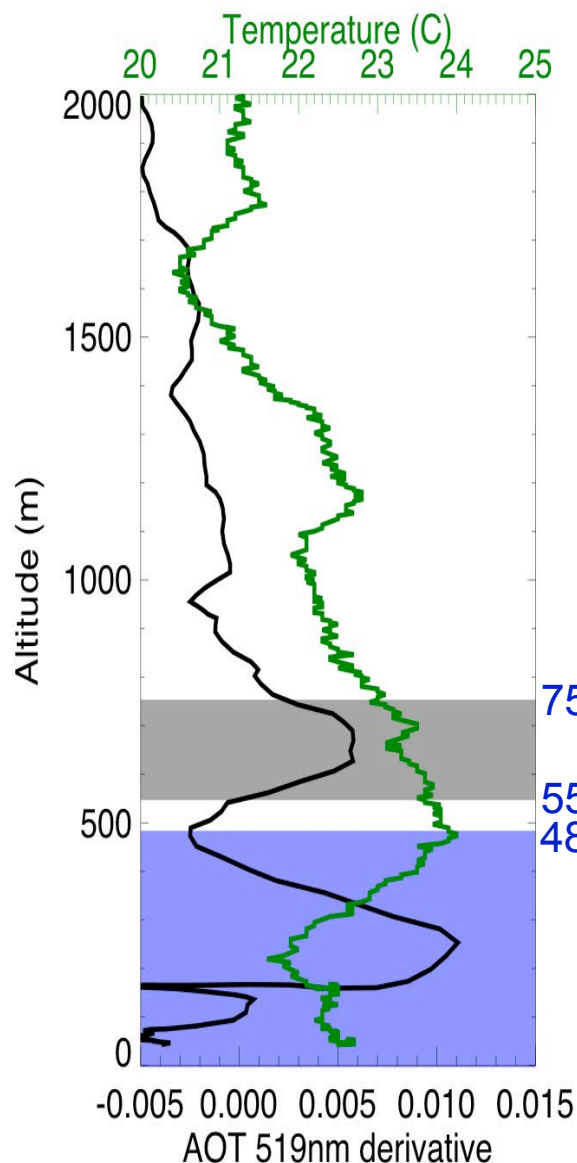
MILAGRO Aerosol over cloud

Scene

- Near shore, dissipating, marine stratocumulus cloud
- Moderate aerosol overlay
- Aerosols are aged, mixed and stagnant, primarily from fires and industrial/urban pollution in the Mexico City valley

Vertical distribution from external data

- Aerosol height from a sun photometer during an aircraft vertical spiral
- Cloud top height from temperature in the same spiral



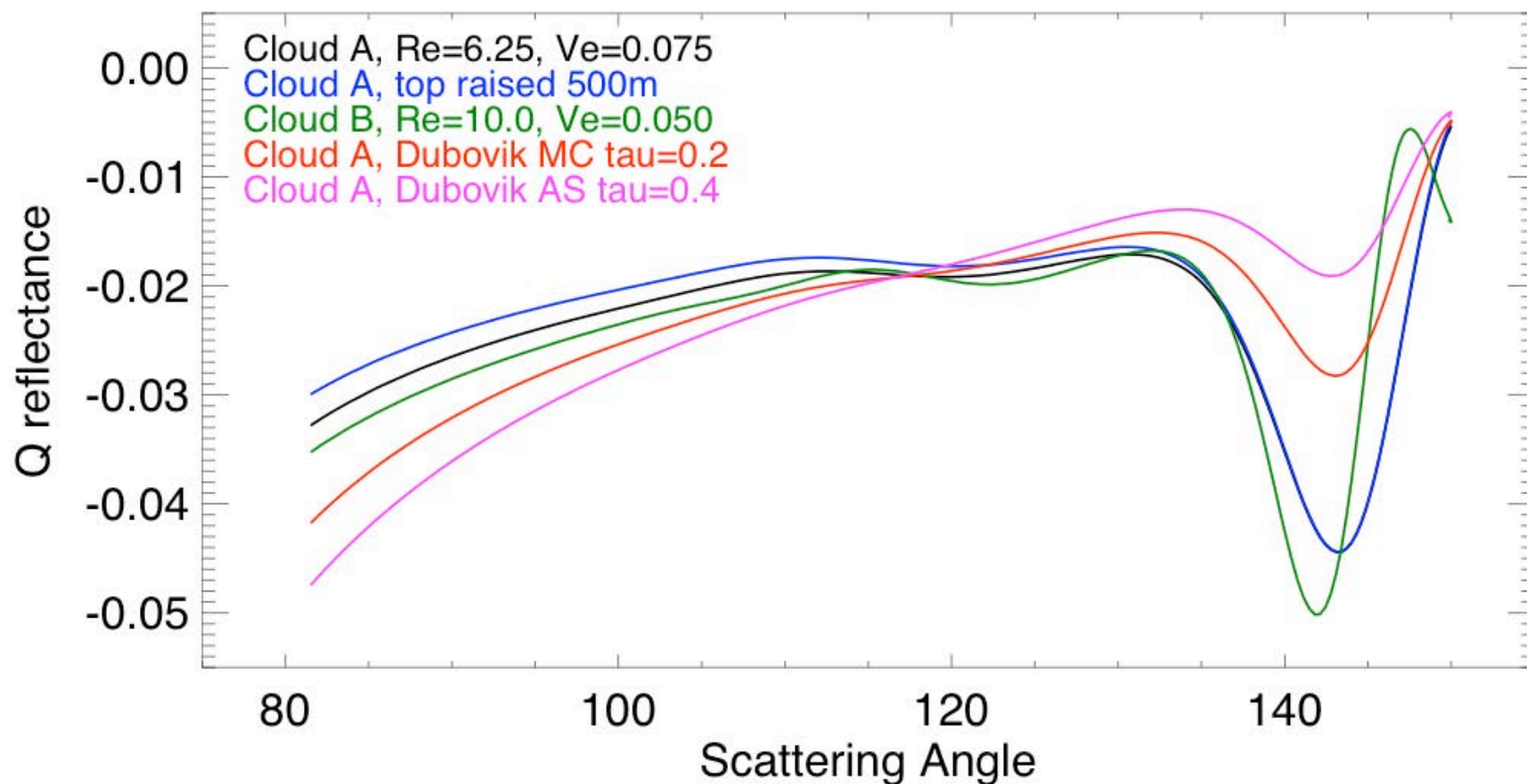
February 23, 2011



MILAGRO Aerosol over cloud

Polarized observations can distinguish aerosol and cloud optical properties *and are insensitive to cloud optical depth (above ~3)*

555nm

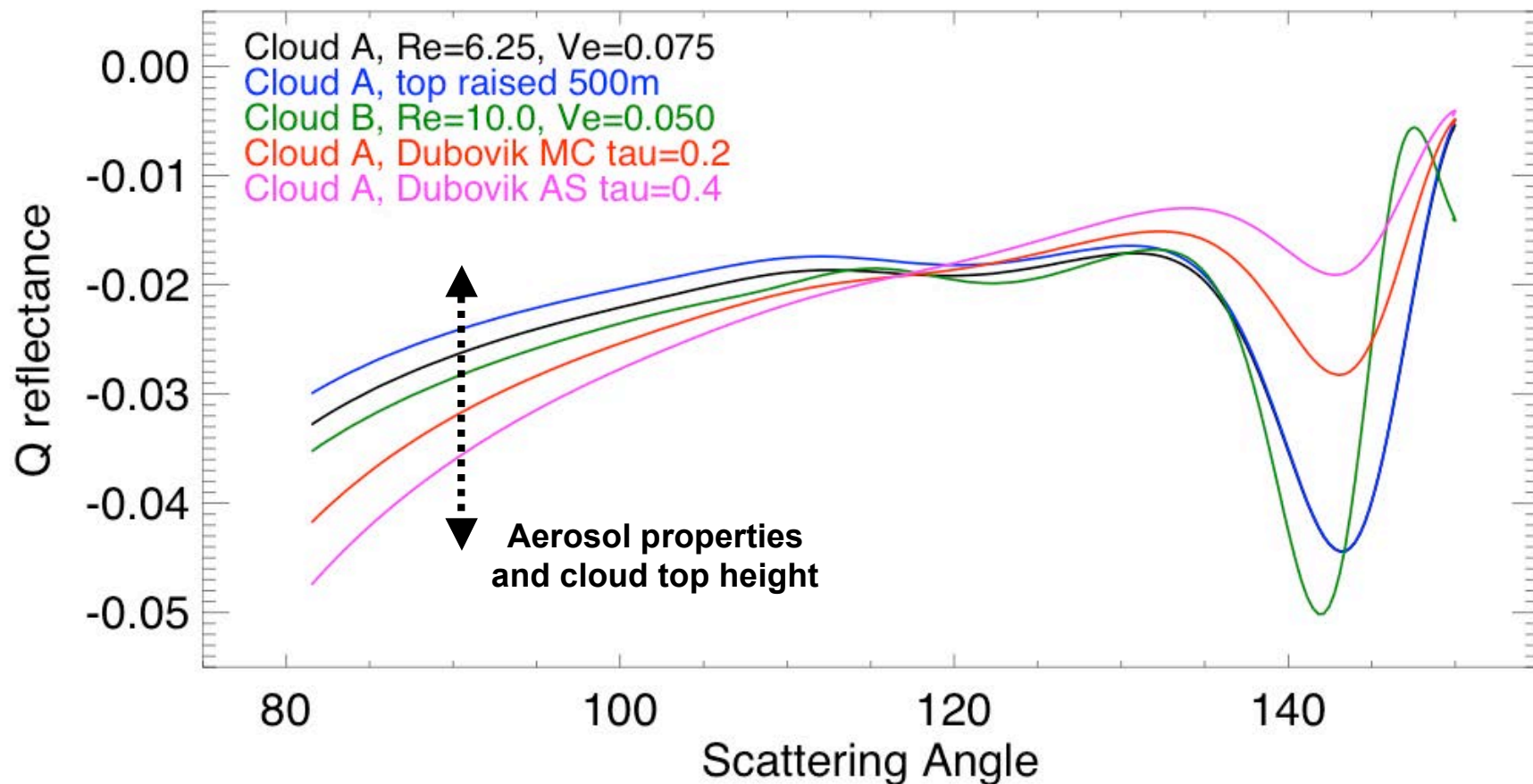




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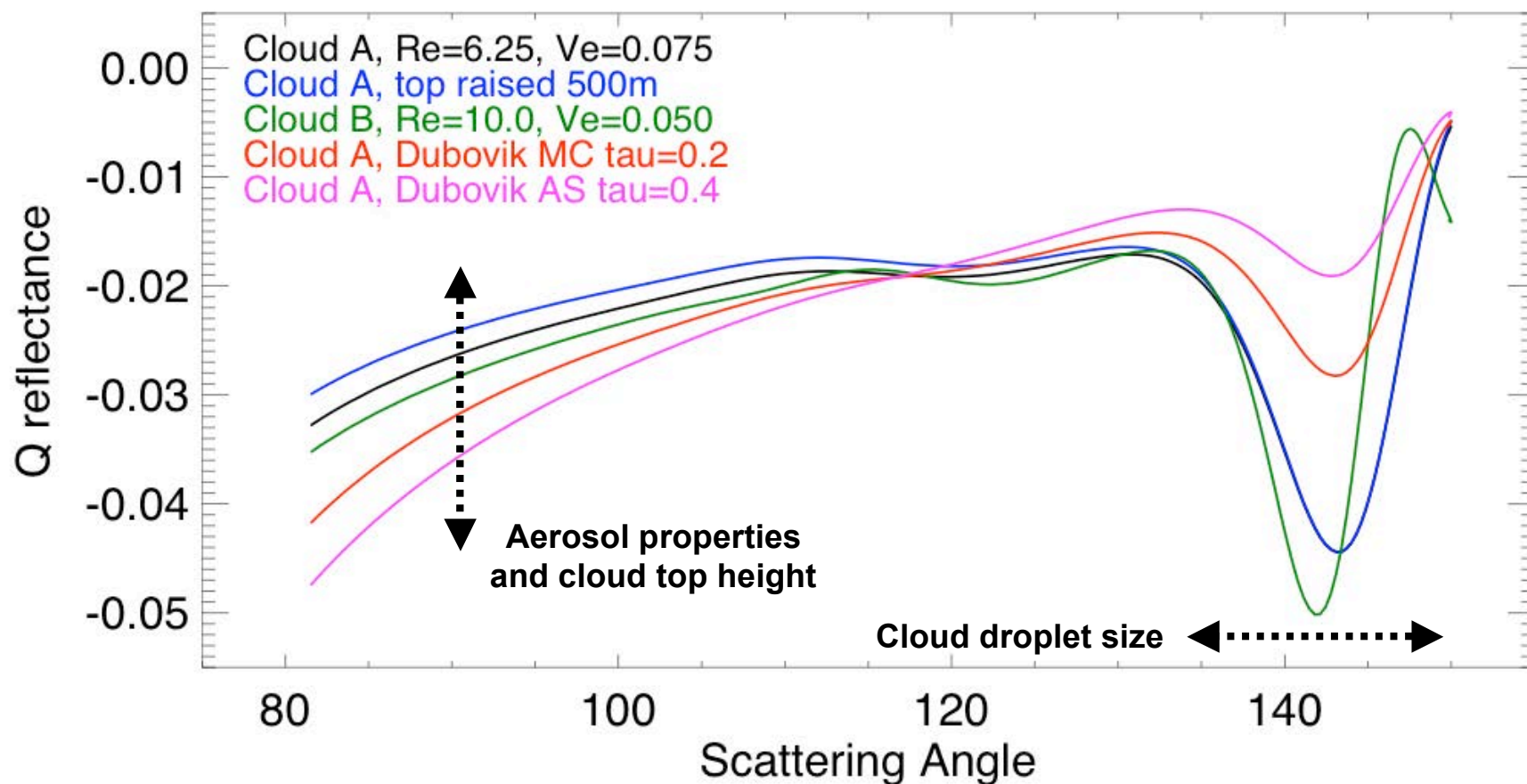




MILAGRO Aerosol over cloud

Polarized observations can distinguish aerosol and cloud optical properties *and are insensitive to cloud optical depth (above ~3)*

555nm





MILAGRO Aerosol over cloud

Simulations can be used to assess sensitivity using the Jacobian

The Jacobian for a simulation can be used to project observational error to state (parameter) space

$$C_x = (J^T C_T J)^{-1}$$

Simulated parameter error

Observation error

Jacobian

$$J = \frac{\partial G(\mathbf{x})}{\partial \mathbf{x}}$$

Forward model

Parameters

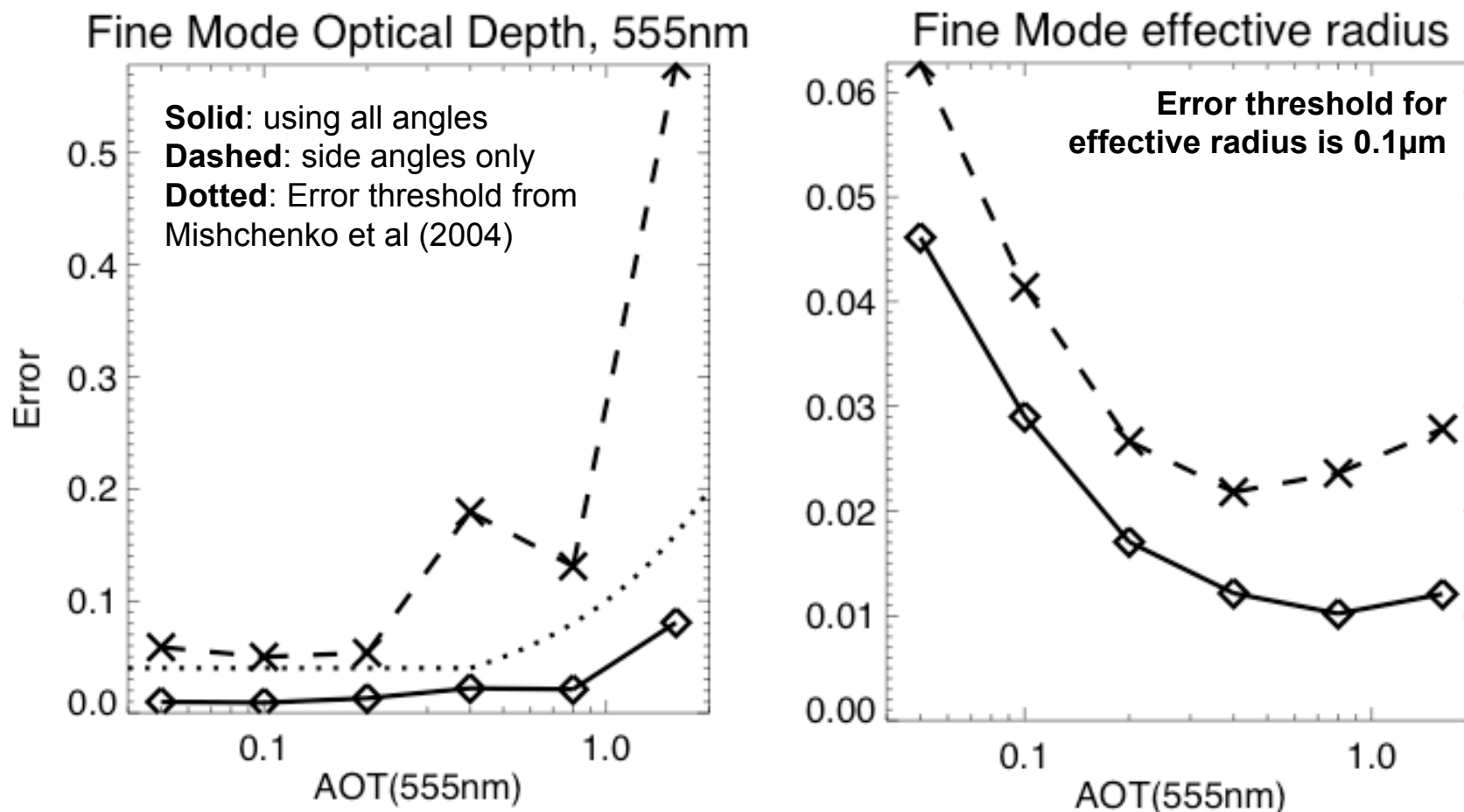
This is useful to help us choose the best retrieval strategy

Example: is it better to use observations at all view angles, or only where aerosols have the most influence?



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Simulations can be used to assess sensitivity using the Jacobian

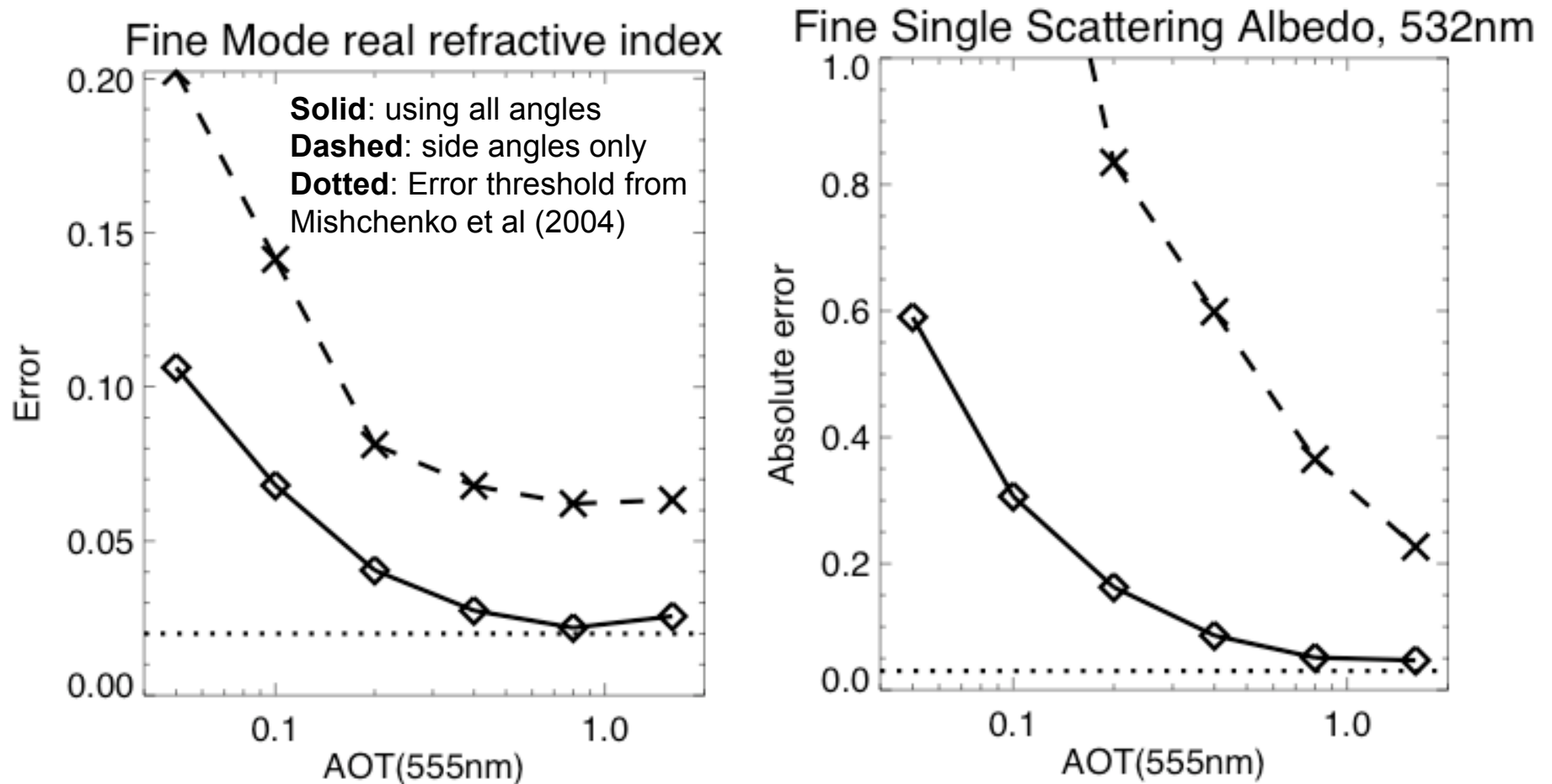


M. Mishchenko, B. Cairns, J. Hansen, L. Travis, R. Burg, Y. Kaufman, J. Vanderlei Martins, and E. Shettle. Monitoring of aerosol forcing of climate from space: analysis of measurement requirements. *J. Quant. Spectrosc. Radiat. Transfer*, 88(1-3):149–161, 2004.



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Simulations can be used to assess sensitivity using the Jacobian



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Simulations can be used to assess sensitivity using the Jacobian

Note: this does not indicate correlation between parameters, which can also hinder accurate retrievals

Analysis (in paper) finds correlation between

- Real refractive index and both size parameters
- Imaginary refractive index and cloud effective variance
- Effective radius and variance



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We use

- 7 RSP channels (410nm, 470nm, 555nm, 670nm, 865nm, 1590nm, and 2250nm)
- ~75 Angular observations between 40° forward (toward the sun) and 20° backwards
- Total number of observations: 525

We assume

- **Cloud:** Uniform size distribution, infinite optical depth, top at 500m
- **Aerosol:** uniformly distributed between 600 and 1800m
- Two parameter model for imaginary refractive index
- Aerosols are spheres

A priori values

- **Cloud:** observations in the rainbow are compared to a Look Up Table of cloud single scattering properties. Standard (gamma) size distribution: $R_{\text{eff,cl}}=6.25\mu\text{m}$, $V_{\text{eff,cl}}=0.075$
- **Aerosol:** Mexico City urban-industrial mix AERONET model from Dubovik et al. 2002

Fine mode : $m_f=1.47+0.03i$, $R_{\text{eff,f}}=0.136\mu\text{m}$, $V_{\text{eff,f}}=0.43$, $\tau_f=0.12$

Coarse mode : $m_c=1.47+0.03i$, $R_{\text{eff,c}}=2.960\mu\text{m}$, $V_{\text{eff,c}}=0.63$, $\tau_c=0.04$

m - refractive index

R_{eff} - effective radius [μm]

V_{eff} - effective variance

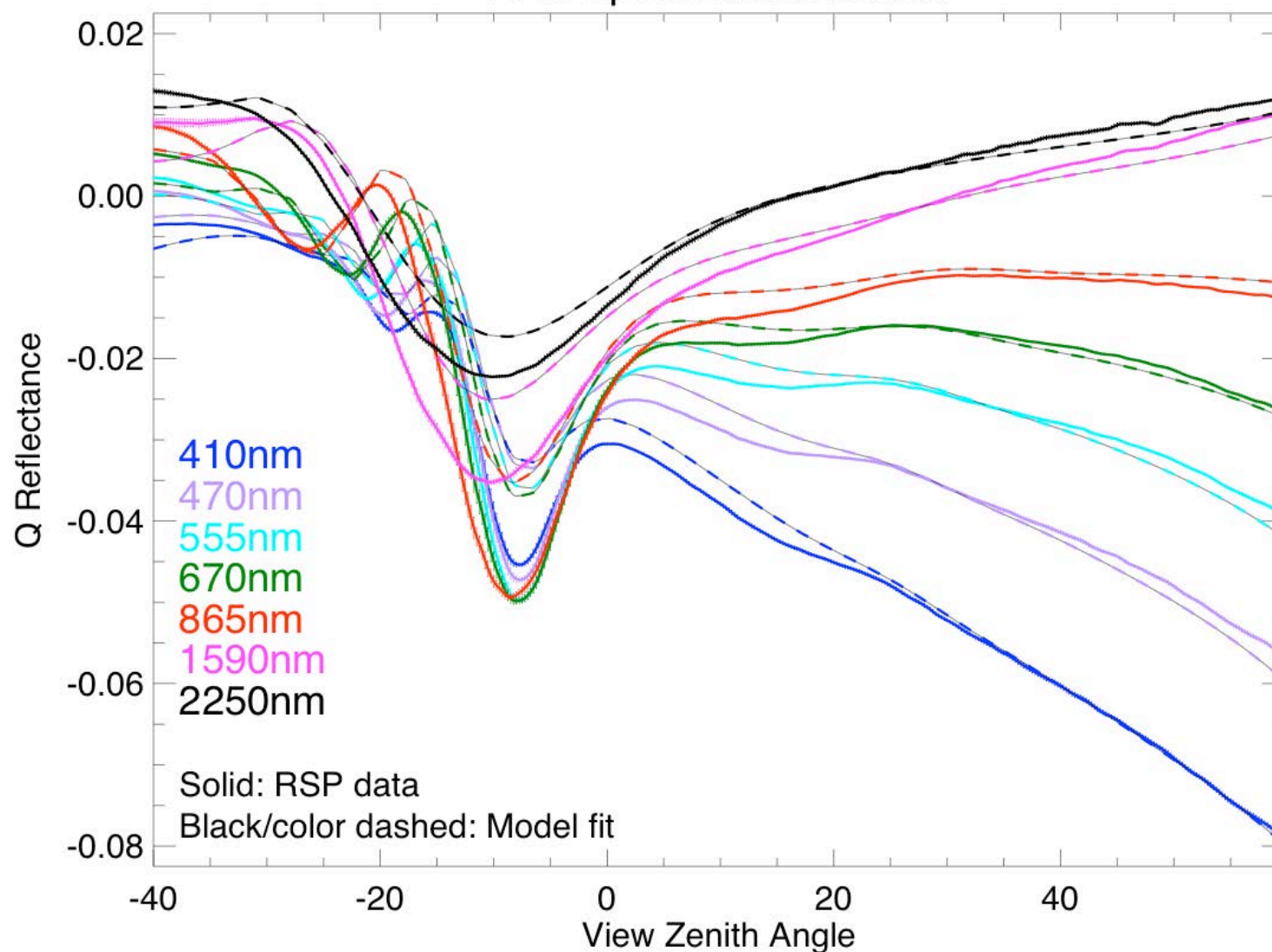
τ - aerosol optical depth

Note: italicized parameters are held constant - they are assumed



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AAC optimization results





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Cloud		
Effective Radius [μm]	6.82	± 0.19
Effective Variance	0.028	± 0.009
Fine mode Aerosol		
Imaginary Refractive Index	0.004	± 0.077
Effective Radius [μm]	0.14	± 0.01
Effective Variance	0.06	± 0.04
Aerosol Optical Depth, 532nm	0.10	± 0.02
Derived parameters		
Total Aerosol Optical Thickness, 532nm	0.14	± 0.02
Single Scattering Albedo, 532nm	0.87	± 0.45



MILAGRO Aerosol over cloud

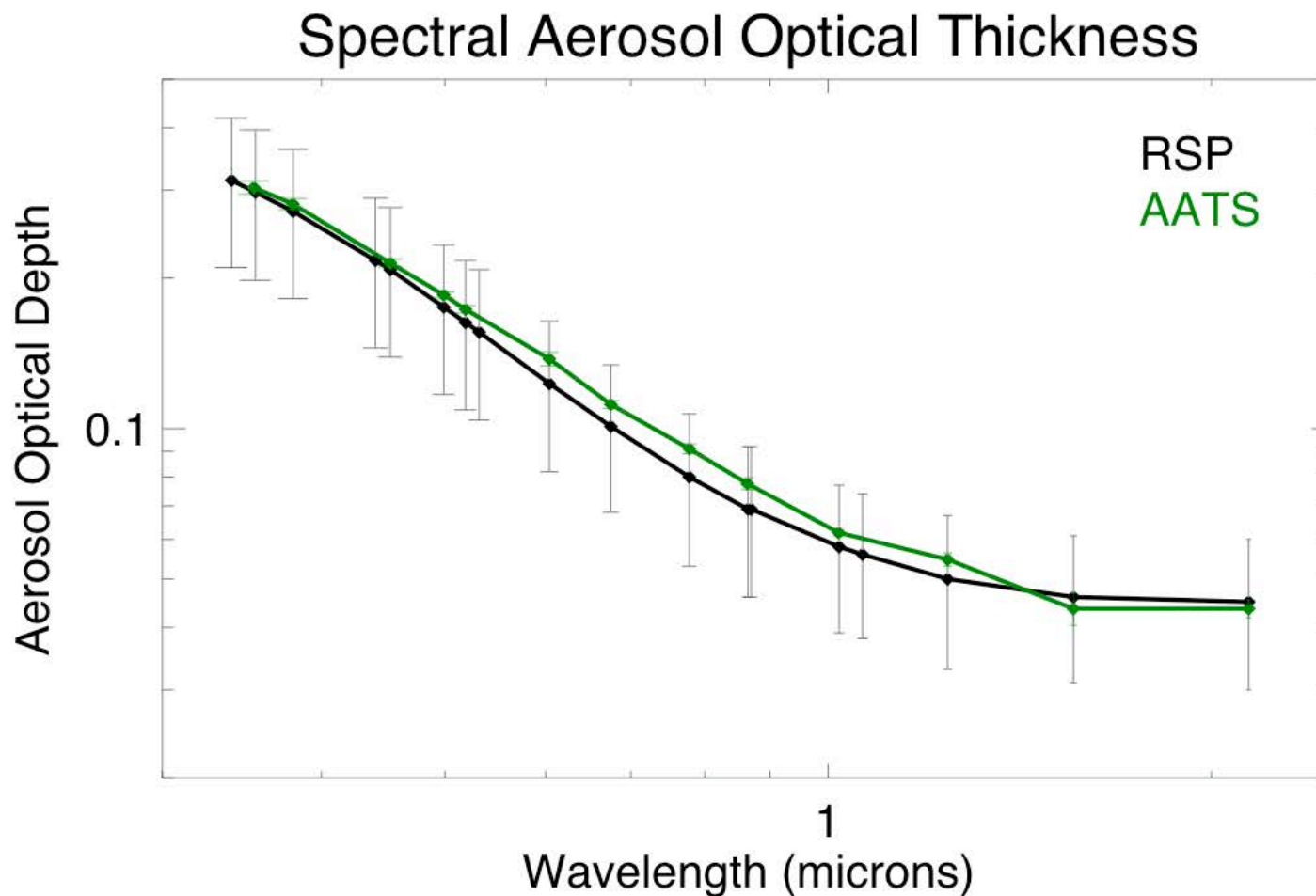
Cloud		
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Aerosol Optical Depth,	0.10	± 0.02
Derived parameters		
Total Aerosol Optical Thickness, 532nm	0.14	± 0.02
Single Scattering Albedo, 532nm	0.87	± 0.45

Large error for imaginary refractive index means large single scattering albedo error



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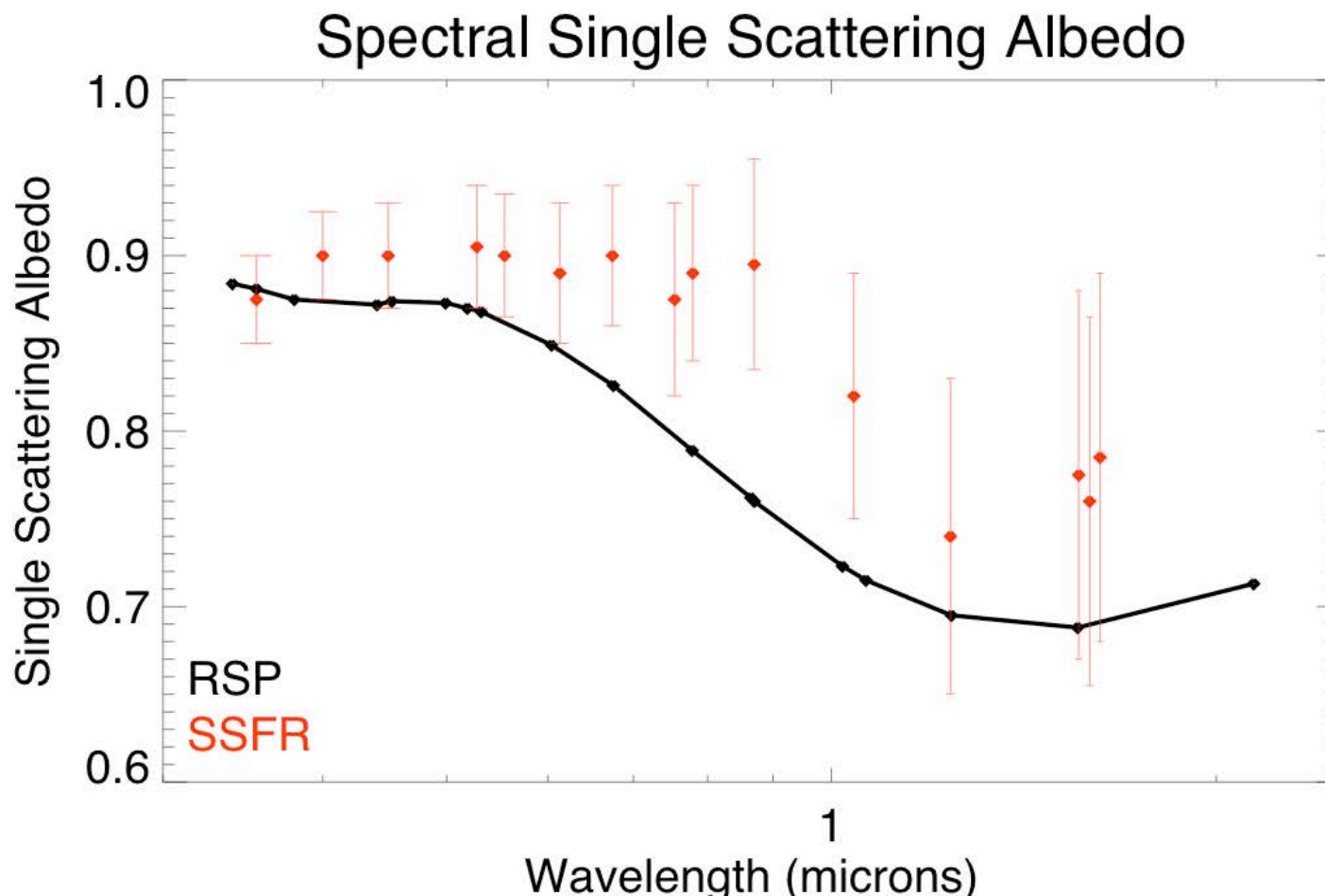
Results compare well to AATS sun photometer





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Large errors but reasonable comparison to Solar Spectral Flux
Radiometer observations*



* R. W. Bergstrom, K. S. Schmidt, O. Coddington, P. Pilewskie, H. Guan, J. M. Livingston, J. Redemann, and P. B. Russell. Aerosol spectral absorption in the Mexico City area: results from airborne measurements during milagro/intex b. *Atmos. Chem. Phys.*, 10:6333–6343, 2010.



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Interpretation and Conclusions

- **Fine mode aerosol optical depth** and **size distribution** retrieved **accurately**, as predicted by simulations
- **Fine mode refractive index**, and related **single scattering albedo** has large assessed errors, but is similar to other observations
- **Provided that cloud top height is known**, we can retrieve aerosol optical depth, and to a lesser degree, absorption above clouds
- **Accuracy in the latter increases with optical depth**



Final Conclusions

The climate community needs accurate remote sensing of aerosols

Scanning polarimeters, such as the airborne RSP and soon to be launched APS, hold much promise for aerosol optical property retrieval

To investigate RSP and APS capability:

- Constructed a flexible optimal estimation software package for RSP data (DAO)
- Created a method that uses DAO to determine retrieval capability
- Tested this method using data from two field campaigns, where the observational scenario is “difficult”



Collaborators

- **ARCTAS co-authors:** B. Cairns, M. Ottaviani, R. Ferrare, J. Hair, C. Hostetler, M. Obland, R. Rogers, J. Redemann, Y. Shinozuka, A. Clarke, S. Freitag, S. Howell, V. Kapustin, and C. McNaughton.
- **MILAGRO co-authors:** B. Cairns, J. Redemann, R.W. Bergstrom, and A. Stohl.

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And thanks to all of you!

